

# COOP/DR Plan

December, 2012



# DTS

DEPARTMENT OF TECHNOLOGY SERVICES

**Disclosure Statement**  
**Under the Utah Governmental Records Access and Management**  
**Act (GRAMA)**

This document may contain “private”, “protected” or “controlled” records as defined by the Utah Government Records Access and Management Act. This document is intended only for the use of the individuals or jurisdictions to which it applies and may contain information that is exempt from disclosure under applicable Federal or State law. If the user of this document is NOT the intended recipient or an authorized employee or agent of an authorized recipient, you are hereby notified that any dissemination, distribution or copying of this communication is prohibited.

State of Utah, Governor’s Executive Order 2006-0002, State Department participation in Comprehensive Preparedness Initiative, issued May 1, 2006, provides for all State agencies to complete a Continuity of Operations Plan.

**UTAH DEPARTMENT OF TECHNOLOGY SERVICES**  
**AND OFFICE OF THE CHIEF INFORMATION OFFICER**

**[HTTP://DTS.UTAH.GOV/](http://DTS.UTAH.GOV/)**

1 State Office Building, Suite 6000  
Salt Lake City, Utah 84114

Copyright © 2012 State of Utah  
All Rights Reserved

# Table of Contents

<b>TOPIC</b>	<b>Page #</b>
<b>Background</b>	<b>6</b>
<b>DTS Overview</b>	<b>7 – 8</b>
Internal Service Funds and Rates	
Service Level Agreements	
Activities	
Organizations Structure	
<b>Authority Title 63F</b>	<b>9 – 17</b>
1-103 DTS	
1-104 Purpose	
1-105 Appointment of Executive Director	
1-106 Executive Director Jurisdiction	
1-201 Chief Information Officer	
1-205 Approval of Acquisition of Information Technology	
1-206 Rulemaking and Policies	
1-207 Coordination within Executive Branch Agencies	
1-208 Delegation of Department Functions	
1-209 Delegation of Department Staff to Executive Branch Agencies	
1-301 Cost Based Services Fees and Rates	
1 505 Information Technology Plan	
<b>DTS FY13 Agency Plans</b>	<b>18 – 86</b>
Utah Board of Pardon	
Department of Alcoholic Beverage Control	
Department of Agriculture and Food	
Department of Administrative Services	
Department of Environmental Quality	
Department of Financial Institutions	
Department of Heritage and Arts	
Department of Human Resources	
Department of Human Services	
Department of Natural Resources	
Department of Commerce	
Department of Health	
Department of Public Safety	
Department of Workforce Services	
Governor's Office of Economic Development	
Governor's Office	
Public Service Commission	
Department of Corrections	
Department of Transportation	
Utah Insurance Department	
Utah Labor Commission	
Utah Tax Commission	
<b>Continuity of Operations Plan Update/Review Log</b>	<b>87 - 88</b>
<b>Continuity of Operations Plan Exercise Log</b>	<b>89 - 90</b>
<b>Worksheet 1 COOP Program Management Team Roles &amp; Responsibilities</b>	<b>91 – 93</b>

# Table of Contents

TOPIC	Page #
<b>DTS General Plan</b>	<b>94 -100</b>
Management Authorization	
Message from Management	
Continuity of Operations Team	
Scope of Plan	
Continuity of Operations Strategy	
Agency Function Identification (Critical vs Non-Critical)	
Priority I	24 – 48 hours
Priority II	7 – 28 days
Priority III	30 + days
<b>Timeline</b>	<b>101 - 103</b>
Chain of Command	Before Impact
Situation Assessment	within 4 hours
Identify Recovery Control Location	within 4 hours
Initiate Call down of Staff	within 4 hours
Plan Implementation	within 4 hours
Public Relations Communications	within 4 hours
Staffing	within 24 hours
Computer Operations & Data Recovery	within 48 hours
Facility Recovery (temporary)	within 48 hours
Critical (Priority I ) Functions	within 48 hours
Essential (Priority II ) Functions	within 7 – 28 days
Non Essential (Priority III) Functions	within 30 + days
Permanent Repair (Systems & Facilities)	based on situation
Long Term Staff Care & Rehabilitation	based on situation
Resumption of Normal Operations	based on situation
Assesment of Continuity of Operations	when recovered
Plan and Modification	based on situation
<b>COOP Actions</b>	<b>104 - 124</b>
Phase I	Emergency Response
Phase II	Event Assesment
Phase III	Notification/Plan Implementation Process
A.	Management Notifications
B.	Guidelines for Implementing Emergency Policies and SOP's
C.	Decleration Type
D.	COOP Implementation Guidelines
E.	Implementing Emergency Policies and SOP's
F.	Emergency Powers
G.	Decision Making Priorities
Phase IV	Continuti of Operation Preperation
A.	Select & Aquire Agency Recovery Locations
B.	Organize and Activate Section Recovery Teams by Function
C.	Prepare Agency for Relocation
D.	Agency Services Recovery Control Location Contacts

# Table of Contents

<b>TOPIC</b>	<b>Page #</b>
Phase V COOP Activites	
A. Information Resources Recovery Procedures	
B. Facilities Recovery Procedures	
C. Critical Functions Recovery Procedures	
Phase VI PIO Activities (worksheets)	
Phase VII Final Report Activites	
<b>DTS Orders of Succession</b>	<b>125 - 127</b>
Worksheet 4a Orders of Succession	
<b>Delegation of Authority</b>	<b>128 – 131</b>
Executive Management for DTS	
DTS Infrastructure and Solutions Delivery	
DTS Enterprise Security	
DTS Finance and Administration	
DTS Technology	
Public Information Office	
CIO Executive Management	
DTS Human Resources	
<b>Alternate Facilities</b>	<b>132 – 136</b>
Salt Lake City Data Center	
Richfield Data Center	
Provo Regional Center	
Ogden Regional Center	
State Fairpark	
Grand Building	
Wasatch Building	
<b>Backup and Recovery of Essential Records and Databases</b>	<b>137 – 140</b>

## **Appendix**

- A. DTS Employee Work Phone # Contact List by Last Name
- B. DTS Employee Cell Phone # Contact List by Last Name
- C. Agency Applications and Tier I – III determination
- D. DTS Data Center Inventory SLC November 2012
- E. DTS Data Center Inventory Richfield November 2012
- F. Agency COOP/DR Plans – DWS – Unemployment Insurance
- G. Agency COOP/DR Plans – PS – UCJIS failover
- H. Agency COOP/DR Plans – DEQ 2006
- I. Agency COOP/DR Plans – DHS 2010
- J. Agency COOP/DR Plans – TAX
- K. Agency COOP/DR Plans – DHS SAFE
- L. Agency COOP/DR Plans – DABC
- M. DTS Oracle/SQL Database

## Background

The Department of Technology Services (DTS) was officially established by Governor Jon M. Huntsman, Jr. and the State Legislature with the passage of the Utah Technology Governance Act (H.B.109) in 2005, calling for a major restructuring of the State's Information Technology (IT) services.

Since that time, under the State's Chief Information Officer (CIO), DTS has embarked on an unprecedented transition to consolidate all IT resources and services for the State of Utah into one department to improve accountability, reduce costs, increase services to taxpayers, and more closely align IT with the business needs of the State of Utah.

In a collaborative effort, DTS has established a close working relationship with its stakeholders to ensure that the state's IT organization is responsive, accountable, and well-aligned to the business needs of the State of Utah. DTS has also established a performance-based strategy to provide ongoing alignment to the requirements defined by DTS customers. This strategy has presented DTS with opportunities to supportively partner with other agencies to improve performance across state government.

OUR MISSION	
<i>Bringing value and innovation to Utah through service and technology</i>	
WE VALUE -	
<i>Responsiveness – Business Value – Efficiency – Accountability – Integrity</i>	
OUR VISION: TO BE VALUED BY -	
<b><i>Our Customers and Their Constituents –</i></b>	<i>As an open, trusted partner who listens, is competent, and provides responsive, high-value services that Improve business operations.</i>
<b><i>Our Staff –</i></b>	<i>As offering an exciting and challenging work environment, where performance is rewarded, and each individual can achieve their full potential through teamwork, collaboration, respect, and learning.</i>
<b><i>State Executive and Legislative Leaders –</i></b>	<i>As a responsive, efficient, and customer-focused organization that utilizes appropriate levels of technology and performance measures in serving the needs of the State of Utah.</i>
<b><i>External Stakeholders, including All Levels and Branches of Government, Citizens, and the Businesses Community –</i></b>	<i>As a partner in streamlining government operations, which will contribute to making the State of Utah a model for efficient and effective government.</i>





# DEPARTMENT OF TECHNOLOGY

## SERVICES – OVERVIEW

The Department of Technology Services (DTS) is the Technology Service Provider for the Executive Branch of the State of Utah, offering State Agencies a wide variety of services. DTS works together with other State Agencies to transform government through the effective use of technology.

DTS, under the State's Chief Information Officer (CIO), has embarked on an unprecedented transition to optimize all IT resources and services for the state of Utah in one department to improve accountability, reduce costs, increase services to taxpayers, and more closely align IT with the business needs of the state of Utah.

The newly redesigned Utah.gov boasts more than 1,000 online services. The growing portfolio of technological applications is the result of an evolving strategy designed by Agencies, working in cooperation with DTS, to keep Utah in the forefront by utilizing IT tools to better serve our business customers and the citizens of our State.

### Internal Service Funds and Rates

An internal service fund was established through which DTS charges rates to state agencies based on service demands. Enterprise rates combine services that were previously provided separately in the enterprise and agency-specific areas, enabling DTS to efficiently align resources to the business needs of state agencies.

DTS service rates are reviewed and approved on an annual basis in advance of the fiscal year to assist agencies and GOPB in the annual budget recommendation to the Legislature. Through its prescribed rate process, DTS develops rates that more accurately reflect actual costs.

### Service Level Agreements

DTS continues to utilize and track Service Level Agreements (SLA), which establish clearly defined and agreed-upon IT services to customers. SLAs ensure that DTS and the customer agency have a common understanding of the levels of service required in the key areas of IT service. SLAs are designed to be easily understood by all parties to ensure ongoing discussion, evaluation, and improvement. These agreements provide a clear relationship between IT costs and services, enabling agencies to make better business decisions and ensuring alignment with service-level priorities. DTS continues to track SLA metrics and customer satisfaction in order to ensure we are providing the best possible service to the agencies and citizens of Utah. Over the past year, customer satisfaction ratings provided by the agencies have remained above our goal of 4.5, on a scale of 1 to 5, with an average rating of 4.62.

### Activities

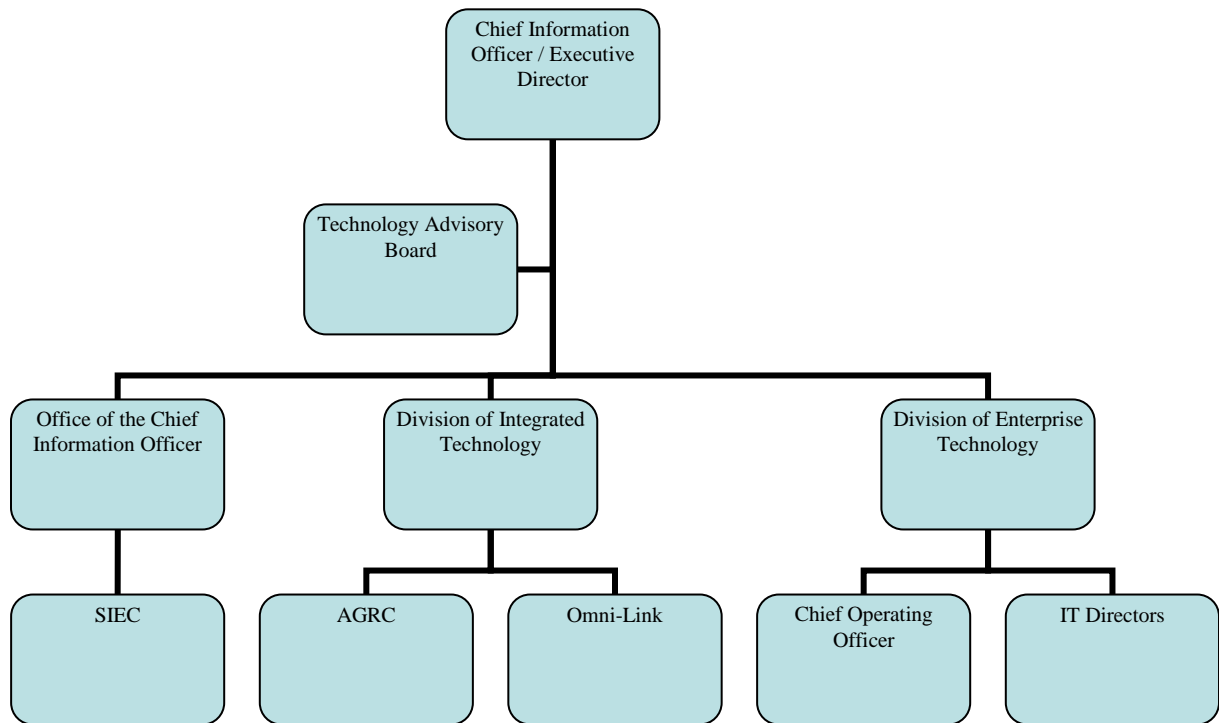
DTS is engaged in a wide range of IT endeavors and supports the following:

- Over 23,000 network connected devices
- Over 1,000,000 emails per business day
- Over 500 servers
- More than 20,000 desktops
- More than 1,000 online services
- More than 890 business applications

- Over 250 Application Projects
- Over 25,000 telephones
- 64 microwave towers
- Over 2,800 mobile radios
- Over 15,000 service requests per month
- 24/7 continuity of operations for state, local and education entities at the Richfield Data Center
- Security against more than 1,200,000 attempted IT intrusions daily
- Over 1,000,000 Visits to Utah.Gov per Month

## Organization Structure

The Utah Department of Technology Services is organized to address functions identified in state statute: agency services, integrated technology, and enterprise technology. DTS has incorporated these areas into one organization to provide services to state agencies.



# AUTHORITY

## DTS Authority comes from Utah Code Title 63F 1 Technology Governance Act

Utah

<http://le.utah.gov/~code/TITLE63F/63F01.htm>

### **63F-1-103. Department of Technology Services.**

(1) There is created within state government the Department of Technology Services which has all of the policymaking functions, regulatory and enforcement powers, rights, duties, and responsibilities outlined in this title.

(2) The department has authority to operate as an internal service fund agency as provided in Section [63J-1-410](#).

Amended by Chapter 183, 2009 General Session

### **63F-1-104. Purposes.**

The department shall:

(1) lead state executive branch agency efforts to reengineer the state's information technology architecture with the goal of coordinating central and individual agency information technology in a manner that:

(a) ensures compliance with the executive branch agency strategic plan; and

(b) ensures that cost-effective, efficient information and communication systems and resources are being used by agencies to:

(i) reduce data, hardware, and software redundancy;

(ii) improve system interoperability and data accessibility between agencies; and

(iii) meet the agency's and user's business and service needs;

(2) (a) coordinate an executive branch strategic plan for all agencies;

(b) identify best practices from agencies and other public and private sector entities; and

(c) develop and implement processes to replicate information technology best practices and standards throughout the executive branch;

(3) oversee the expanded use and implementation of project and contract management principles as they relate to information technology projects within the executive branch;

(4) serve as general contractor between the state's information technology users and private sector providers of information technology products and services;

(5) work toward building stronger partnering relationships with providers;

(6) develop service level agreements with executive branch departments and agencies to ensure quality products and services are delivered on schedule and within budget;

(7) develop standards for application development including a standard methodology and cost-benefit analysis that all agencies shall utilize for application development activities;

(8) determine and implement statewide efforts to standardize data elements and determine data ownership assignments among executive branch agencies;

(9) develop systems and methodologies to review, evaluate, and prioritize existing information technology projects within the executive branch and report to the governor and the Public Utilities and Technology Interim Committee on a semiannual basis regarding the status of information technology projects; and

(10) assist the Governor's Office of Planning and Budget with the development of

information technology budgets for agencies.  
Amended by Chapter 270, 2011 General Session

**63F-1-105. Appointment of executive director -- Compensation -- Authority.**

- (1) The governor shall:
    - (a) appoint the executive director with the consent of the Senate; and
    - (b) establish the executive director's salary within the salary range fixed by the Legislature in Title 67, Chapter 22, State Officer Compensation.
  - (2) The executive director shall:
    - (a) serve at the pleasure of the governor; and
    - (b) exercise all powers given to and perform all duties imposed on the department.
- Enacted by Chapter 169, 2005 General Session

**63F-1-106. Executive director -- Jurisdiction over divisions and office directors -- Authority.**

(1) The executive director of the department has administrative jurisdiction over each division and office in the department and the division and office directors. The executive director may make changes in personnel and service functions in the divisions under the director's administrative jurisdiction, and authorize designees to perform appropriate responsibilities, to effectuate greater efficiency and economy in the operations of the department as permitted by this section.

(2) The executive director may establish offices and bureaus to perform functions such as budgeting, planning, and personnel administration to facilitate management of the department.

(3) The executive director may hire employees in the department, divisions, and offices as permitted by department resources. Except as provided in Subsection (4), any employees of the department are exempt from career service or classified service status as provided in Section [67-19-15](#).

(4) (a) An employee of an executive branch agency who was a career service employee as of July 1, 2005 who is transferred to the Department of Technology Services continues in the employee's career service status during the employee's service to the Department of Technology Services if the duties of the position in the new department are substantially similar to those in the employee's previous position.

(b) A career service employee transferred to the new department under the provisions of Subsection (4)(a), whose duties or responsibilities subsequently change, may not be converted to exempt status without the review process required by Subsection [67-19-15](#)(3).

(c) The executive director shall work with executive branch agency directors, during the period of transition to the new department, in good faith, to:

- (i) preserve relevant career service positions;
- (ii) retain qualified employees in non-relevant positions through transfers to other positions in state government, with retraining as necessary; and
- (iii) promote greater economy and efficiencies for the department.

(d) The Department of Technology Services together with the Department of Human Resource Management may develop financial and other incentives to encourage a career service employee who transfers to the department under the provisions of Subsection (4)(a) to voluntarily convert to an exempt position under Section [67-19-15](#).

(e) If a career service employee transfers to the department under the provisions of

Subsection (4)(a) and terminates his employment with the department for any reason, the employment position shall be exempt from career service status under the provisions of Subsection (3).

Enacted by Chapter 169, 2005 General Session

**63F-1-201. Chief information officer -- Appointment -- Powers -- Reporting.**

- (1) The director of the department shall serve as the state's chief information officer.
  - (2) The chief information officer shall:
    - (a) advise the governor on information technology policy; and
    - (b) perform those duties given the chief information officer by statute.
  - (3) (a) The chief information officer shall report annually to:
    - (i) the governor; and
    - (ii) the Public Utilities and Technology Interim Committee.(b) The report required under Subsection (3)(a) shall:
    - (i) summarize the state's current and projected use of information technology;
    - (ii) summarize the executive branch strategic plan including a description of major changes in the executive branch strategic plan; and
    - (iii) provide a brief description of each state agency's information technology plan.
  - (4) (a) In accordance with this section, the chief information officer shall prepare an interbranch information technology coordination plan that provides for the coordination where possible of the development, acquisition, and maintenance of information technology and information systems of:
    - (i) the executive branch;
    - (ii) the judicial branch;
    - (iii) the legislative branch;
    - (iv) the Board of Regents; and
    - (v) the State Board of Education.(b) In the development of the interbranch coordination plan, the chief information officer shall consult with the entities described in Subsection (4)(a).
  - (c) The interbranch coordination plan:
    - (i) is an advisory document; and
    - (ii) does not bind any entity described in Subsection (4)(a).
  - (d) (i) The chief information officer shall submit the interbranch coordination plan to the Public Utilities and Technology Interim Committee for comment.
  - (ii) The chief information officer may modify the interbranch coordination plan:
    - (A) at the request of the Public Utilities and Technology Interim Committee; or
    - (B) to improve the coordination between the entities described in Subsection (4)(a).
  - (iii) Any amendment to the interbranch coordination plan is subject to this Subsection
- (4) in the same manner as the interbranch coordination plan is subject to this Subsection (4).
- (5) In a manner consistent with the interbranch coordination plan created in accordance with Subsection (4), the chief information officer shall maintain liaisons with:
    - (a) the judicial branch;
    - (b) the legislative branch;
    - (c) the Board of Regents;
    - (d) the State Board of Education;
    - (e) local government;
    - (f) the federal government;

- (g) business and industry; and
- (h) those members of the public who use information technology or systems of the state.

Amended by Chapter 270, 2011 General Session

**63F-1-205. Approval of acquisitions of information technology.**

(1) (a) Except as provided in Title 63M, Chapter 1, Part 26, Government Procurement Private Proposal Program, in accordance with Subsection (2), the chief information officer shall approve the acquisition by an executive branch agency of:

- (i) information technology equipment;
- (ii) telecommunications equipment;
- (iii) software;
- (iv) services related to the items listed in Subsections (1)(a)(i) through (iii); and
- (v) data acquisition.

(b) The chief information officer may negotiate the purchase, lease, or rental of private or public information technology or telecommunication services or facilities in accordance with this section.

(c) Where practical, efficient, and economically beneficial, the chief information officer shall use existing private and public information technology or telecommunication resources.

(d) Notwithstanding another provision of this section, an acquisition authorized by this section shall comply with rules made by the State Procurement Policy Board under Title 63G, Chapter 6, Utah Procurement Code.

(2) Before negotiating a purchase, lease, or rental under Subsection (1) for an amount that exceeds the value established by the chief information officer by rule in accordance with Section [63F-1-206](#), the chief information officer shall:

(a) conduct an analysis of the needs of executive branch agencies and subscribers of services and the ability of the proposed information technology or telecommunications services or supplies to meet those needs; and

(b) for purchases, leases, or rentals not covered by an existing statewide contract, provide in writing to the chief procurement officer in the Division of Purchasing and General Services that:

- (i) the analysis required in Subsection (2)(a) was completed; and
- (ii) based on the analysis, the proposed purchase, lease, rental, or master contract of services, products, or supplies is practical, efficient, and economically beneficial to the state and the executive branch agency or subscriber of services.

(3) In approving an acquisition described in Subsections (1) and (2), the chief information officer shall:

(a) establish by administrative rule, in accordance with Section [63F-1-206](#), standards under which an agency must obtain approval from the chief information officer before acquiring the items listed in Subsections (1) and (2);

(b) for those acquisitions requiring approval, determine whether the acquisition is in compliance with:

- (i) the executive branch strategic plan;
- (ii) the applicable agency information technology plan;
- (iii) the budget for the executive branch agency or department as adopted by the Legislature; and
- (iv) Title 63G, Chapter 6, Utah Procurement Code; and

(c) in accordance with Section [63F-1-207](#), require coordination of acquisitions between two or more executive branch agencies if it is in the best interests of the state.

(4) (a) Each executive branch agency shall provide the chief information officer with

complete access to all information technology records, documents, and reports:

(i) at the request of the chief information officer; and

(ii) related to the executive branch agency's acquisition of any item listed in

Subsection (1).

(b) Beginning July 1, 2006 and in accordance with administrative rules established by the department under Section [63F-1-206](#), no new technology projects may be initiated by an executive branch agency or the department unless the technology project is described in a formal project plan and the business case analysis has been approved by the chief information officer and agency head. The project plan and business case analysis required by this Subsection (4) shall be in the form required by the chief information officer, and shall include:

(i) a statement of work to be done and existing work to be modified or displaced;

(ii) total cost of system development and conversion effort, including system analysis and programming costs, establishment of master files, testing, documentation, special equipment cost and all other costs, including overhead;

(iii) savings or added operating costs that will result after conversion;

(iv) other advantages or reasons that justify the work;

(v) source of funding of the work, including ongoing costs;

(vi) consistency with budget submissions and planning components of budgets; and

(vii) whether the work is within the scope of projects or initiatives envisioned when the current fiscal year budget was approved.

(5) (a) The chief information officer and the Division of Purchasing and General Services shall work cooperatively to establish procedures under which the chief information officer shall monitor and approve acquisitions as provided in this section.

(b) The procedures established under this section shall include at least the written certification required by Subsection [63G-6-204](#)(8).

Amended by Chapter 376, 2011 General Session

### **63F-1-206. Rulemaking -- Policies.**

(1) (a) Except as provided in Subsection (2), in accordance with Title 63G, Chapter 3, Utah Administrative Rulemaking Act, the chief information officer shall make rules that:

(i) provide standards that impose requirements on executive branch agencies that:

(A) are related to the security of the statewide area network; and

(B) establish standards for when an agency must obtain approval before obtaining items listed in Subsection [63F-1-205](#)(1);

(ii) specify the detail and format required in an agency information technology plan submitted in accordance with Section [63F-1-204](#);

(iii) provide for standards related to the privacy policies of websites operated by or on behalf of an executive branch agency;

(iv) provide for the acquisition, licensing, and sale of computer software;

(v) specify the requirements for the project plan and business case analysis required by Section [63F-1-205](#);

(vi) provide for project oversight of agency technology projects when required by Section [63F-1-205](#);



(vii) establish, in accordance with Subsection [63F-1-205](#)(2), the implementation of the needs assessment for information technology purchases; and

(viii) establish telecommunications standards and specifications in accordance with Section [63F-1-404](#).

(b) The rulemaking authority in this Subsection (1) is in addition to any other rulemaking authority granted by this title.

(2) (a) Notwithstanding Title 63G, Chapter 3, Utah Administrative Rulemaking Act, and subject to Subsection (2)(b), the chief information officer may adopt a policy that outlines procedures to be followed by the chief information officer in facilitating the implementation of this title by executive branch agencies if the policy:

(i) is consistent with the executive branch strategic plan; and

(ii) is not required to be made by rule under Subsection (1) or Section [63G-3-201](#).

(b) (i) A policy adopted by the chief information officer under Subsection (2)(a) may not take effect until 30 days after the day on which the chief information officer submits the policy to:

(A) the governor; and

(B) all cabinet level officials.

(ii) During the 30-day period described in Subsection (2)(b)(i), cabinet level officials may review and comment on a policy submitted under Subsection (2)(b)(i).

(3) (a) Notwithstanding Subsection (1) or (2) or Title 63G, Chapter 3, Utah Administrative Rulemaking Act, without following the procedures of Subsection (1) or (2), the chief information officer may adopt a security procedure to be followed by executive branch agencies to protect the statewide area network if:

(i) broad communication of the security procedure would create a significant potential for increasing the vulnerability of the statewide area network to breach or attack; and

(ii) after consultation with the chief information officer, the governor agrees that broad communication of the security procedure would create a significant potential increase in the vulnerability of the statewide area network to breach or attack.

(b) A security procedure described in Subsection (3)(a) is classified as a protected record

under Title 63G, Chapter 2, Government Records Access and Management Act.

(c) The chief information officer shall provide a copy of the security procedure as a protected record to:

(i) the chief justice of the Utah Supreme Court for the judicial branch;

(ii) the speaker of the House of Representatives and the president of the Senate for the legislative branch;

(iii) the chair of the Board of Regents; and

(iv) the chair of the State Board of Education.

Amended by Chapter 382, 2008 General Session

### **63F-1-207. Coordination within the executive branch -- Cooperation with other branches.**

(1) In accordance with the executive branch strategic plan and the requirements of this title, the chief information officer shall coordinate the development of information technology systems between two or more executive branch agencies subject to:

(a) the budget approved by the Legislature; and

(b) Title 63J, Chapter 1, Budgetary Procedures Act.



(2) In addition to the coordination described in Subsection (1), the chief information officer shall promote cooperation regarding information technology in a manner consistent with the interbranch coordination plan created in accordance with Section [63F-1-201](#).

Amended by Chapter 382, 2008 General Session

**63F-1-208. Delegation of department functions.**

(1) (a) If the conditions of Subsections (1)(b) and (2) are met and subject to the other provisions of this section, the chief information officer may delegate a function of the department to another executive branch agency or an institution of higher education by contract or other means authorized by law.

(b) The chief information officer may delegate a function of the department as provided in Subsection (1)(a) if in the judgment of the director of the executive branch agency, the director of the division, and the chief information officer:

(i) the executive branch agency or institution of higher education has requested that the function be delegated;

(ii) the executive branch agency or institution of higher education has the necessary resources and skills to perform or control the function to be delegated; and

(iii) the function to be delegated is a unique or mission critical function of the agency or institution of higher education which is not appropriate to:

(A) govern or manage under the Division of Enterprise Technology; or

(B) govern or manage under the Division of Integrated Technology.

(2) The chief information officer may delegate a function of the department only when the delegation results in net cost savings or improved service delivery to the state as a whole or to the unique mission critical function of the executive branch agency.

(3) The delegation of a function under this section shall:

(a) be in writing;

(b) contain all of the following:

(i) a precise definition of each function to be delegated;

(ii) a clear description of the standards to be met in performing each function delegated;

(iii) a provision for periodic administrative audits by the Division of Agency Services in accordance with Section [63F-1-604](#);

(iv) a date on which the agreement shall terminate if the agreement has not been previously terminated or renewed; and

(v) any delegation of department staff to the agency to support the function in-house with the agency and rates to be charged for the delegated staff; and

(c) include a cost-benefit analysis justifying the delegation in accordance with Section [63F-1-604](#).

(4) An agreement to delegate functions to an executive branch agency or an institution of higher education may be terminated by the department if the results of an administrative audit conducted by the division reveals a lack of compliance with the terms of the agreement by the executive branch agency or institution of higher education. Enacted by Chapter 169, 2005 General Session

**63F-1-209. Delegation of department staff to executive branch agencies -- Prohibition against executive branch agency information technology staff.**

(1) (a) The chief information officer shall assign department staff to serve an agency

in-house if the chief information officer and the executive branch agency director jointly determine it is appropriate to provide information technology services to:

- (i) the agency's unique mission critical functions and applications;
- (ii) the agency's participation in and use of statewide enterprise architecture under the Division of Enterprise Technology; and
- (iii) the agency's use of coordinated technology services with other agencies that share similar characteristics with the agency under the Division of Integrated Technology.

(b) (i) An agency may request the chief information officer to assign in-house staff support from the department.

(ii) The chief information officer shall respond to the agency's request for in-house staff support in accordance with Subsection (1)(a).

(c) The department shall enter into service agreements with an agency when department staff is assigned in-house to the agency under the provisions of this section.

(d) An agency that receives in-house staff support assigned from the department under the provision of this section is responsible for paying the rates charged by the department for that staff as established under Section [63F-1-301](#).

(2) (a) After July 1, 2006, an executive branch agency may not create a full-time equivalent position or part-time position, or request an appropriation to fund a full-time equivalent position or part-time position under the provisions of Section [63J-1-201](#) for the purpose of providing information technology services to the agency unless:

(i) the chief information officer has approved a delegation under Section [63F-1-208](#); and

(ii) the Division of Agency Services conducts an audit under Section [63F-1-604](#) and finds that the delegation of information technology services to the agency meets the requirements of Section [63F-1-208](#).

(b) The prohibition against a request for appropriation under Subsection (2)(a) does not apply to a request for appropriation needed to pay rates imposed under Subsection (1)(d).

Amended by Chapter 382, 2008 General Session

#### **63F-1-301. Cost based services -- Fees -- Rate committee.**

(1) The chief information officer shall:

(a) at the lowest practical cost, manage the delivery of efficient and cost-effective information technology and telecommunication services for:

- (i) all executive branch agencies; and
  - (ii) entities that subscribe to the services in accordance with Section [63F-1-303](#); and
- (b) provide priority service to public safety agencies.

(2) (a) In accordance with this Subsection (2), the chief information officer shall prescribe a schedule of fees for all services rendered by the department to:

- (i) an executive branch entity; or
- (ii) an entity that subscribes to services rendered by the department in accordance with Section [63F-1-303](#).

(b) Each fee included in the schedule of fees required by Subsection (2)(a):

- (i) shall be equitable;
- (ii) should be based upon a zero based, full cost accounting of activities necessary to provide each service for which a fee is established; and
- (iii) for each service multiplied by the projected consumption of the service recovers no more or less than the full cost of each service.

(c) Before charging a fee for its services to an executive branch agency or to a subscriber of services other than an executive branch agency, the chief information officer shall:

(i) submit the proposed rates, fees, and cost analysis to the Rate Committee established in Section [63F-1-302](#); and

(ii) obtain the approval of the Legislature as required by Section [63J-1-410](#).

(d) The chief information officer shall conduct a market analysis by July 1, 2006, and periodically thereafter, of proposed rates and fees, which analysis shall include a comparison of the department's rates with the fees of other public or private sector providers where comparable services and rates are reasonably available.

Amended by Chapter 183, 2009 General Session

**63F-1-505. Information technology plan.**

(1) In accordance with this section, the division shall submit an information technology plan to the chief information officer.

(2) The information technology plan submitted by the division under this section shall include:

(a) the information required by Section [63F-1-203](#);

(b) a list of the services the division offers or plans to offer; and

(c) a description of the performance measures used by the division to measure the quality of the services described in Subsection (2)(b).

(3) (a) In submitting its information technology plan under this section, the division shall comply with Section [63F-1-204](#).

(b) The information technology plan submitted by the division under this section is subject to the approval of the chief information officer as provided in Section [63F-1-204](#).

Enacted by Chapter 169, 2005 General Session

# DTS FY13 Agency Plans

<http://dts.utah.gov/itplanning/documents/fy2013itplanreport.pdf>

## Agency: Utah Board of Pardons

<http://bop.utah.gov/>

### Agency Mission Statement

The mission of the Board of Pardons and Parole is to further public safety by rendering just decisions regarding the length of incarceration, parole supervision, termination of sentence, and commutation of sentence and pardons.

### IT Objectives of the Agency

Ensure that the DTS services (O-track & UDOCA application support, desktop support, first calls problem resolution etc.) provided to the Board of pardons meets or exceeds the target criteria specified in the DTS/BOP SLA.

### Agency Objectives that have IT projects supporting them

- Effectiveness in conducting hearings
- Efficiency in preparation for hearings
- Make consistent, rational, and careful decisions
- Provide optimum protection of the public
- Provide service in the most cost-effective, efficient manner
- Respond to all inquiries in a timely fashion
- Safeguard the rights, privileges, and interests of victims and offenders
- Thoroughness in reviewing individual cases
- BOP website management

### IT involvement and coordination efforts with other State and Local government entities

- Dept of Corrections – NORM, O-TRACK and UDOCA support and development
- Dept of Finance – FINET support
- Dept of Technology Services – BES, EIS, MLA, Telephony, UMD, VPN, WAN and Web hosting
- Courts – Xchange support

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

### Requirements

- Agency/Project(s) have a Federal or State requirement for a Written Business Resumption Plan **No**
- Agency/Project(s) has a Written Business Resumption Plan **No**
- Agency/Project(s) has a business requirement for 24/7 **No**
- Agency/Project(s) has a Federal or State Requirement for a Written Disaster Recovery Plan **No**
- Agency/Project(s) has a Documented Disaster Recovery Plan **No**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II						

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus C**

Title	Name	Phone #	Cell #
IT Director	Bill Boudreau	801 545-5508	801 865-2435
Campus Manager	Kelly Sharp		801 598-3577
Network Supv	Tim King	801 965-4935	
Hosting Supv	Adam Sorensen	801 957-8574	801 641-2909
Desktop Supv	Ralph Judd	801 652-5184	801 652-5184
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

### Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:

Title	Files Link	POC
N/A		
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Alcoholic Beverage Control

<http://abc.utah.gov/>

### Agency Mission Statement

The Mission of the DABC is to facilitate and control the sale and distribution of alcoholic beverages, license on-premise establishments that serve alcoholic beverages, and provide a comprehensive alcohol education program aimed at preventing underage drinking. Providing excellent customer service to the citizens of Utah is a department priority. To ensure quality services the department strives to operate efficient, conveniently located, retail outlets and provide training and technical guidance to licensees to assist them in complying with state and federal laws.

### IT Objectives of the Agency

To maintain a highly skilled on-site team of developers and infrastructure support specialist providing a rapid response to daily support issues throughout the agency's 6 days a week, and to ensure that knowledgeable resources can react to any activation of the ABC Disaster Recovery Plan. Secondary focus is to facilitate the evaluation, adoption, and integration of new or enhanced technologies to support the agency in its business and educational goals.

### Agency Objectives that have IT projects supporting them

- Promote the adoption of sound business practices.
- Providing broad access to information, effective education, and public awareness programs with regard to the risks and societal costs associated with underage drinking and alcohol abuse.
- Improving customer service and convenience in all dealings with the DABC.
- Achieve efficiencies in Warehousing, Retail, and Corporate Operations, adopting new or enhanced technologies in response to legislative mandates, market trends, industry best practices, and agency growth.

### IT involvement and coordination efforts with other State and Local government entities

Dept of Public Safety Bureau of Investigations, Liquor Control Unit – Access to liquor licensee records and violations histories

National Alcohol Beverage Control Association (NABCA) – Collaboration with the technology professional organization

Dept of Finance – uploads to State FINET

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

### Requirements

Agency/Project(s) has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project(s) has a Written Business Resumption Plan **Yes**

Agency/Project(s) has a business requirement for 24/7 **Yes**

Agency/Project(s) has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project(s) has a Documented Disaster Recovery Plan **Yes**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	AS/RS	automated warehouse	<a href="mailto:SPETILOS@utah.gov">SPETILOS@utah.gov</a>	Oracle	on site	redundant site and DR plan
II	Compliance	Liquor licensing functions	<a href="mailto:edorius@utah.gov">edorius@utah.gov</a>	Delphi and Oracle	on site	redundant site and DR plan
II	POS	store point of sale system	<a href="mailto:SPETILOS@utah.gov">SPETILOS@utah.gov</a>	Sybase, Powerbuilder 6.5 and SQL Anywhere 5.5 POS from Red Iron (SAP partner)	on site	redundant site and DR plan
II	Escalate (E-1) WMS	Warehouse Management system track inventory	<a href="mailto:jhall@utah.gov">jhall@utah.gov</a>	COTS, Oracle forms, database and Powerbuilder	on site, Richfield DC	redundant site and DR plan
II	WMS custom code	Custom code	<a href="mailto:wolson@utah.gov">wolson@utah.gov</a>	.NET/C#	on site, SL and Richfield DC	redundant site and DR plan
II	ABC website and web applications	To provide public-facing services via the internet.	<a href="mailto:SPETILOS@utah.gov">SPETILOS@utah.gov</a>	.NET/C#	on site, SL and Richfield DC	redundant site and DR plan

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	ISS Merchandising	An umbrella System for DABC	<a href="mailto:tzdunich@utah.gov">tzdunich@utah.gov</a>	Proprietary (Spaceman)	On site stand alone PC's	None, data restore

### Agency DTS contacts by Environment: **Campus D**

Title	Name	Phone #	Cell #
IT Director	Darcie Trimble	801 538-3571	801 558-2276
Campus Manager	Jim Howard	801 626-3558	801 540-7046
Network Supv	Jordy Davis	801 538-6127	801 554-5932

<b>Hosting Supv</b>	Aaron Jeter	801 538-6643	801 819-6477
<b>Desktop Supv</b>	Lynn Mccrary	801 538-5426	801 971-2064
<b>DTS Help Desk</b>		801 538-3440	800-678-3400
<b>SL Data Center</b>		801 538-3889	801 815-6587
<b>Richfield Data Center</b>		801 538-1188	
<b>Emergency Operations Center ESF-2</b>		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
DABC Sungard IT Plan Rvsd 2012.09.pdf	Agency Plans Attachment D - DABC	Kevin Perry 801 668-5849
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	



## Agency: Department of Agriculture and Food

<http://ag.utah.gov/>

### Agency Mission Statement

Promote the healthy growth of Utah agriculture, conserve our natural resources, and protect our food supply.

### IT Objectives of the Agency

Improve communication and ensure food and consumer safety through more reliable available information to the public and agency regulatory officers.

### Agency Objectives that have IT projects supporting them

- Improve communication and awareness.
- Conserve and enhance Utah's lands and natural resources.
- Ensure food safety and consumer protection.
- Online Applications and Streamlined Processes

### IT involvement and coordination efforts with other State and Local government entities

EPA's National Pesticide Information Retrieval System – pesticide product registration application.

Licensing – investigation and prosecution due to misapplication or fumitoxin of pesticides

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project(s) has a Federal or State requirement for a Written Business Resumption Plan **No**

Agency/Project(s) has a Written Business Resumption Plan **Yes**

Agency/Project(s) has a business requirement for 24/7 **No**

Agency/Project(s) has a Federal or State Requirement for a Written Disaster Recovery Plan **No**

Agency/Project(s) has a Documented Disaster Recovery Plan **No**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II						

Tier III and IV Systems – Non Essential Systems availability within after 30 days						
System Name	Description	Business Owner	Environment	Location	Back Up Strategy	

IV	9 systems	see DTS Application by Tiers – Appendix C database for full details			
----	-----------	---	--	--	--

**Agency DTS contacts by Environment: Campus D**

Title	Name	Phone #	Cell #
IT Director	Jim Matsumura		801 514-3134
Campus Manager	Jim Howard	801 626-3558	801 540-7046
Network Supv	Jordy Davis	801 538-6127	801 554-5932
Hosting Supv	Aaron Jeter	801 538-6643	801 819-6477
Desktop Supv	Lynn Mccrary	801 538-5426	801 971-2064
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
AGR DR Plan	Sungard software	Chris Crnich 801 538-7109 <a href="mailto:ccrinch@utah.gov">ccrinch@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Administrative Services

<http://www.das.utah.gov/>

### Agency Mission Statement

Deliver support services of the highest quality and best value to government agencies and the public.

### IT Objectives of the Agency

The primary objective of IT at DAS is to assist in meeting the vision and goals of the department and deliver IT services that help each division meet their business requirements.

### Agency Objectives that have IT projects supporting them

- Provide quality, low-cost services to State agencies.
- Provide accurate and reliable central management and reporting of the State's financial resources.
- Oversee the cost-effective construction and management of State facilities.
- Provide leveraged purchasing support to reduce costs to State agencies.
- Provide accurate timely customer information through the use of business intelligence.
- Provide accurate processing of payroll for state employees.
- Provide for effective claims processing in Risk Management
- Assist in providing cost effective solutions for electronic records management.
- Provide automation for rules management.
- Provide for efficient management of the state Fleet and the fuel network.

### IT involvement and coordination efforts with other State and Local government entities

Transparency in Government – Website maintained with Division of finance data with regular updates.

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **Yes**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project has a Documented Disaster Recovery Plan **Yes**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	Data Warehouse	State data warehouse	<a href="mailto:jgearheart@utah.gov">jgearheart@utah.gov</a>	IBM Cognos	SL Data Center	Restore and rebuild from

						backup data
I	eForms	Electronic forms	<a href="mailto:jgearheart@utah.gov">jgearheart@utah.gov</a>	eForms and Adobe	SL Data Center	Restore and rebuild from backup data
I	FINET	State Financial System	<a href="mailto:jgearheart@utah.gov">jgearheart@utah.gov</a>	Advantage Financial Systems	SL Data Center	Restore from backup data
I	Payment Tracking System (PTS)	Electronic Payment Tracking	<a href="mailto:jgearheart@utah.gov">jgearheart@utah.gov</a>	Payment Tracking System	SL Data Center	Restore from backup data
I	SAP Payroll	State Payroll System	<a href="mailto:maustin@utah.gov">maustin@utah.gov</a>	SAP	SL Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	APPX Bibliographic System: Cameras, Catalog, Indexes, Mailing List, Microfilm, Patron Registration, Record Series, Series Security, State Records Committee, Training,	This system supports all business activity of the Archives	<a href="mailto:pmansfie@utah.gov">pmansfie@utah.gov</a>	APPX, Oracle	Salt Lake DTS Data Center	Restore from backup data
II	Surplus Property Management System	track surplus property inventory	<a href="mailto:dregan@utah.gov">dregan@utah.gov</a>	Oracle	Salt Lake DTS Data Center	Restore from backup data
II	Versatile State Records	This system supports the management	<a href="mailto:pmansfie@utah.gov">pmansfie@utah.gov</a>	Oracle	Salt Lake DTS Data	Restore from backup

	Center System	of records held at the State Records			Center	data
--	---------------	--------------------------------------	--	--	--------	------

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

**Agency DTS contacts by Environment: Campus CAPITOL**

Title	Name	Phone #	Cell #
IT Director	Brent Cleverly	801 538-3132	801 259-6808
Campus Manager	Cindy Hardman	801 538-9767	801 557-2710
Network Supv	Ed Partridge	801 538-3690	801 243-1833
Hosting Supv	Dale Hicks	801 538-3417	801 809-2878
Desktop Supv	Michael Hussey		801 541-1239
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
N/A		Sam Lee <a href="mailto:samlee@utah.gov">samlee@utah.gov</a> 801 538-9675
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Environmental Quality

<http://www.deq.utah.gov/>

### Agency Mission Statement

The mission of the Department of Environmental Quality is to safeguard human health and quality of life by protecting and enhancing the environment.

### IT Objectives of the Agency

- Keep the Lights On: all the software, systems and infrastructure now in place must keep working and meet the expectations defined in SLA's
- Implement Laws/Rules: respond to changing federal and state statutes and rules, ensuring changes are implemented as efficiently and effectively as possible.
- Improve and Expand Services Offered On-Line: support agency efforts to provide services to citizens via the internet by improving existing services, implementing new services and making public information directly available
- Deliver Better Tools for Better Results: identify, prioritize and implement proposed enhancements to existing systems or new systems that support the agency's mission

### Agency Objectives that have IT projects supporting them

- Customer Service
- Agency partnerships

### IT involvement and coordination efforts with other State and Local government entities

- Environmental Council of States (ECOS) cross state cooperative initiatives with EPA
- DTS cross state agencies boundaries with Campus

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **NO**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	Tempo	Air Quality		Powerbuilder	Salt Lake	Restore

		facilities permitting and tracking tool			Data Center	from backup data
	X-Ray	Tracks license information		Powerbuilder, Sybase	Salt Lake Data Center	Restore from backup data
	Air Vision	Aire Management Monitoring System			Agency location	Restore from backup data
	DAQ Webpage(s)	Automation that updates DAQ webpages		Powerbuilder, Oracle, IIS 6.0	Salt Lake Data Center	Restore from backup data
	Documentum-eDocs Documentum Repository	The front end or user interface of the Documentum repository		DOCUMENTUM 6.7, ORACLE 11G, TOMCAT SLES 11.1,	Salt Lake Data Center	Restore from backup data
	Documentum-GIS Interface	DERR Web Documents		DERR	Salt Lake Data Center	Restore from backup data
	Generater Site Access	Nuclear generator tracking and reporting		Powerbuilder, ORACLE	Salt Lake Data Center	Restore from backup data
	Low Level Waste (LLW)	Low Level Nuclear Waste tracking		Powerbuilder, Sybase	Salt Lake Data Center	Restore from backup data
	Node 2.0	State to EPA data exchange web service		WEB SERVICE, IIS 6.0	Salt Lake Data Center	Restore from backup data
	eDocs Scanner Interface	VB custom front end for Kofax scanning		VB.NET	The server (EQMDKSP) is here at DEQ	Restore from backup data
	SDWIS3	Drinking water tracking and reporting tool		JAVA, TOMCAT, Apache, ORACLE	Salt Lake Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	23 Agency applications	see DTS Application by Tiers – Appendix C database for full details		Powerbuilder, ORACLE, JAVA, TOMCAT, Apache, HTML, Java, jQuery, WSDL, SOAP, XML, Oracle	Salt Lake Data Center	Restore from backup data

**Agency DTS contacts by Environment: Campus B**

Title	Name	Phone #	Cell #
IT Director	Jim Matsumura		801 514-3134
Campus Manager	Dallas DiFrancesco	801 297-2710	801 557-2710
Network Supv	Dean Larsen	801 297-2714	801 541-1655
Hosting Supv	Cordell Measells	801 297-2713	801 230-0643
Desktop Supv	Matt Blunk	801 538-4497	
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
N/A		Rebecca Troutman 801 536-0056 <a href="mailto:rtroutman@utah.gov">rtroutman@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	



## Agency: Department of Financial Institutions

<http://www.dfi.utah.gov/>

### Agency Mission Statement

Provide quality supervision and regulation of persons, firms, corporations, associations & other business entities furnishing financial services to the people of the state of Utah:

For Depository Institutions this mission entails maintaining their safety and soundness within a strong, competitive marketplace;

For persons or other entities providing financial services this mission entails maintaining lists of those who do business in Utah pursuant to law and ensuring credit is extended on terms that are lawful, easily understood and competitive.

Develop and improve the state's role in supervision and regulation of financial services.

Be the most efficient source of accurate, timely information and assistance to those entities providing financial services.

### IT Objectives of the Agency

The Department of Financial Institutions (DFI) is a small cabinet level agency that currently consists of 50 employees, 37 of which are examiners who conduct on-site examinations of state chartered financial institutions. The department is a self funded agency with an overall annual budget of about \$6 million. The department's IT infrastructure is primarily built around a PC/Network environment. Most of the IT applications have been developed and operate within the Microsoft Office suite framework. This environment has been driven largely by close collaboration in joint activities with their federal counter part agencies, the Federal Deposit Insurance Corporation (FDIC), the Federal Reserve Board (FRB), the National Credit Union Association (NCUA), and the Conference of State Bank Supervisors (CSBS). Within the operational environment of placating both state and federal IT requirements the agency continues to strive for IT systems stability, security, and collaborative functionality.

### Agency Objectives that have IT projects supporting them

- Ensure the safety and soundness of State regulated financial institutions within a strong, competitive marketplace
- Develop and improve the state's role in supervision and regulation of financial services industries in Utah
- Efficiently provide accurate, timely information and assistance to those entities providing financial services
- Maintain a well trained examination staff
- Facilitate the examination process
- Insure reporting accuracy
- Maintain timely examination cycles

### IT involvement and coordination efforts with other State and Local government entities

- None at this time

## Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	Agency Website (dfi.utah.gov)	Agency website (dfi.utah.gov) provides useful information for the general public and financial institutions	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS IIS/Access	agency	Restore from backup data
	Consumer Lenders Database	Database used to record regulated consumer lenders	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access	agency	Restore from backup data
	CUEW	Credit Union Exam Workbook (CUEW) is the application used for credit union examination analysis and reporting	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Excel/XML	agency	Restore from backup data
	Deferred Deposit Lenders Database	Track and report on deferred deposit lenders	<a href="mailto:jjaramillo@utah.gov">jjaramillo@utah.gov</a>	MS Excel/Word	agency	Restore from backup data
	Financial Institutions Database	Manage basic financial institutions information	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access	agency	Restore from backup data
	Financial Institutions Monitoring Reports	Excel workbook that interfaces with Highline Financial data to produce detailed quarterly	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Excel/XML	agency	Restore from backup data

		monitoring reports				
	Mortgage Lenders Database	Database used to record regulated mortgage lenders	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access	agency	Restore from backup data
	Receipt System	Database used to record and receipt funds received by the agency.	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access	agency	Restore from backup data
	Time Management Database	Database used to record and report time allocation	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access	agency	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	Call Report Data Summary Reports	Application used to produce quarterly summary reports	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access/Excel	agency	Restore from backup data
	CAMEL	Database used to track and report on credit union's examination ratings.	<a href="mailto:opeak@utah.gov">opeak@utah.gov</a>	MS Access	agency	Restore from backup data
	Credit Union Exam Follow-up Database	Database used to record credit union exam follow-up tasks	<a href="mailto:opeak@utah.gov">opeak@utah.gov</a>	MS Access	agency	Restore from backup data
	File Folder Storage & Retention Database	Database used to maintain file folder archive information	<a href="mailto:mjones@utah.gov">mjones@utah.gov</a>	MS Access	agency	Restore from backup data

#### Agency DTS contacts by Environment: **Campus A**

Title	Name	Phone #	Cell #
IT Director	Scott Wolford		801 707-4942
Campus Manager	Billy Greer		801 509-0059
Network Supv	Dave Sedei	801 536-9260	
Hosting Supv	Chris Kunde		801 514-2154
Desktop Supv	Diane Pfeifer		801 598-7962
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Eva Rees 801 538-8834 erees@utah.gov
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Heritage and Arts

<http://heritage.utah.gov/>

### Agency Mission Statement

To enrich the quality of life for the people of Utah and to creates, preserves, and promotes community and cultural infrastructure.

### IT Objectives of the Agency

Maximize IT resources by:

- Analyzing and optimizing IT functions where possible (e.g. consolidate databases)
- Utilizing development resources on priority projects (e.g. create prioritized queue of web and development projects)
- Using the web as a business tool to fulfill mission and deliver services (e.g. develop web strategy, identify innovative technologies to employe
- Identify opportunitis for online services (e.g. assessment of opportunities for online services)
- Collect and retrain institutional knowledge through appropriate utilization of CRM software

### Agency Objectives that have IT projects supporting them

- Achieve efficiencies, elevate constituent service and improve fiscal resource allocation
- Customer Service – Updating DHA web sites to provide better information to customers
- Department Image – Updating DHA web sites with consistent DHA branding and style which reinforces the departments mission on division web sites
- Digitization – Collecting and preserving cultural resources digitally in a way accessible to the public and internal and external customers
- Enhance DHA's reporting capacity, return on investment, analysis and measurable outcomes
- Grants Management
- Improve records management by eliminating redundant records & enabling inter-agency cooperation
- Maximize the public value of Utah's cultural resources through enhanced access and preservation
- Provide documentation online

### IT involvement and coordination efforrts with other State and Local government entities

- None at this time

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **NO**

Agency/Project has a Written Business Resumption Plan **NO**

Agency/Project has a business requirement for 24/7 **NO**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **NO**

Agency/Project has a Documented Disaster Recovery Plan **NO**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	41 Agency applications	see DTS Application by Tiers – Appendix C database for full details	<a href="mailto:mhansen1@utah.gov">mhansen1@utah.gov</a>	Oracle, MS Access, MySQL	Salt Lake Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus A**

Title	Name	Phone #	Cell #
IT Director	Scott Wolford		801 707-4942
Campus Manager	Billy Greer		801 509-0059
Network Supv	Dave Sedei	801 536-9260	
Hosting Supv	Chris Kunde		801 514-2154
Desktop Supv	Diane Pfeifer		801 598-7962
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

### Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:

Title	Files Link	POC
N/A		Kimbal Hale kimbalhale@utah.gov
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

# Agency: Department of Human Resource Management

<http://www.dhrm.utah.gov/>

## Agency Mission Statement

DHRM will add value to the State by:

- Increasing Customer Service
- Increasing Efficiencies
- Decreasing Liability

## IT Objectives of the Agency

All DHRM automated systems are geared to accomplish three items in the DHRM mission statement.

### Agency Objectives that have IT projects supporting them

#### 1. Secured, protected available systems to decrease liability

One of our primary objectives is the proper maintenance, security, and protection of our current production systems. An important part of this responsibility is to secure and protect the data associated with these systems.

HR data is highly sensitive and must be effectively protected. It is a high priority that our data is secured and protected. This will help us reduce and properly manage the state's liability.

This also includes an effective well documented Business Resumption Plan.

#### 2. Flexible Systems that Meet Stakeholder Requests

Open does not mean unsecured systems. It means fewer functional business restrictions in the operations of the systems. This will allow flexibility in the implementation of business practices without waiting for changes to the automated systems.

Also, we are presently required to produce information upon request from the Governor's office and the Legislature. We are also heavily depended upon for interfaces to other state systems either through access to our data warehouse or by interface files generated by our systems.

There are many requests from various sources. Anyone can request information through GRAMA. We are looking for better ways to effectively make HR data readily available to any one who has legitimate need for this information and is able to properly secure it.

#### 3. Valued by our Customers

DHRM has produced effective HR systems. These systems require greater integration so there is seamless functionality between business functions. Bringing value to our customers will help to focus our efforts in bringing greater integration and usability in our systems. It is imperative that we increase our customer service. Since value is defined by the receiver of our services and not how HR views our value it is important to us to focus on bringing value to our customers by listening to them.

#### 4 Increased Customer Service through Enterprise Integration

We will be looking at ways to see that our systems and information is easily accessible to other state systems. We are working with PEHP, URS, and the Division of Finance to make sure we have maximum integration with our HR systems. We want to reduce the need of our customers to access multiple systems while trying to complete a business

process. This have brought about the Employee Gateway which allows HR staff and state employees access to information from different systems in one location.

#### IT involvement and coordination efforts with other State and Local government entities

- None at this time

#### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	HRE	Process and store employment records	<a href="mailto:jherring@utah.gov">jherring@utah.gov</a>	SYBASE ASE	Salt Lake DTS Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II						

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	ACE	This system was written to allow the creation of tests on-line	<a href="mailto:jjacker@utah.gov">jjacker@utah.gov</a>	Java w/Oracle Database	Salt Lake DTS Data Center	Restore from backup data
	UPM	entry of performance plans, performance notes and performance reviews	<a href="mailto:jherring@utah.gov">jherring@utah.gov</a>	Java w/Oracle Database	Salt Lake DTS Data Center	Restore from backup data



**Agency DTS contacts by Environment: Campus CAPITOL**

<b>Title</b>	<b>Name</b>	<b>Phone #</b>	<b>Cell #</b>
<b>IT Director</b>	Brent Cleverly	801 538-3132	801 259-6808
<b>Campus Manager</b>	Cindy Hardman	801 538-9767	801 557-2710
<b>Network Supv</b>	Ed Partridge	801 538-3690	801 243-1833
<b>Hosting Supv</b>	Dale Hicks	801 538-3417	801 809-2878
<b>Desktop Supv</b>	Michael Hussey		801 541-1239
<b>DTS Help Desk</b>		801 538-3440	800-678-3400
<b>SL Data Center</b>		801 538-3889	801 815-6587
<b>Richfield Data Center</b>		801 538-1188	
<b>Emergency Operations Center ESF-2</b>		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Jean Mills 801 538-3076 <a href="mailto:jeanmills@utah.gov">jeanmills@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Human Services

<http://www.dhs.utah.gov/>

### Agency Mission Statement

DHS defines its mission in terms of outcomes, as follows:

- Children, Adults And Families Are Safe From Further Harm.
- Children Have Stable Living Arrangements That Provide Long-Term, Nurturing Relationships.

Children, Adults, And Families Live In Safe, Supportive Communities.

- Consumer Independence/Self-Sufficiency Is Maximized.
- Consumer Quality Of Life Is Improved.
- The Department Maintains the Public's Trust.

### The Department Delivers Quality Services

### IT Objectives of the Agency

- Keep the Lights On: all the software, systems and infrastructure now in place must keep working and meet the expectations defined in SLA's
- Implement Laws/Rules: respond to changing federal and state statutes and rules, ensuring changes are implemented as efficiently and effectively as possible.
- Improve and Expand Services Offered On-Line: support agency efforts to provide services to citizens via the internet by improving existing services, implementing new services and making public information directly available
- Deliver Better Tools for Better Results: identify, prioritize and implement proposed enhancements to existing systems or new systems that support the agency's mission

### Agency Objectives that have IT projects supporting them

Applications written in Powerbuilder will be modernized with newer technologies or replaced.

### IT involvement and coordination efforts with other State and Local government entities

- None at this time

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Strate
I	ORSIS	To automate case and	<a href="mailto:kenmatheson@utah.gov">kenmatheson@utah.gov</a>	Cobol, DB2 Mainframe	Salt Lake Data	Restor from

		financial management functions for the Office of Recovery Services			Center and Richfield	backup data
	SAFE	Child, Adult and Elder Welfare Management	<a href="mailto:nforsythe@utah.gov">nforsythe@utah.gov</a>	Numerous, PowerBuilder and Sybase, but uses .Net Services and the architecture changing to ASP.Net and C#.	Salt Lake Data Center and Richfield	Restore from backup data
	DSAMH FiTS	FiTS (Facility Information Tracking System) has three modules: Emergency Contact, Facility Management and Forms Inventory Control		Java Application Environment	Salt Lake Data Center	Restore from backup data
	USH eChart	Electronic Medical Record and Hospital Administration System.	<a href="mailto:pgrusendorf@utah.gov">pgrusendorf@utah.gov</a>	MS SQL Server/PowerBuilder/Java	Salt Lake DTS Data Center, Richfield Data Center, Agency Location	Restore from backup data
	USDC eChart	Electronic Patient Charting / Census Management / Center Management	<a href="mailto:ghthompson@utah.gov">ghthompson@utah.gov</a>	MS SQL Server/PowerBuilder	Salt Lake DTS Data Center, Richfield Data Center, Agency Location	Restore from backup data
	DSPD USDC AutoMed	Pharmacy Automated Packaging System	<a href="mailto:rholland@utah.gov">rholland@utah.gov</a>	Sybase Adaptive Server Anywhere (ASA)	Agency Location	Restore from backup data
	DSPD USDC Pharm	Processes Rx Orders for patient	<a href="mailto:rholland@utah.gov">rholland@utah.gov</a>	Asset	Agency Location	Restore from backup data

	Pro	medications, maintains patient medications				data
	DSPD uSTEPS	client management of the clients of the Divison of Services for People with Disabilities.	<a href="mailto:bdowning@utah.gov">bdowning@utah.gov</a>	Sybase Adaptive Server Enterprise (ASE	Salt Lake DTS Data Center	Restor from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	30 Business Applications used in day to day operations of Human Services. Tier II	see DTS Application by Tiers – Appendix C database for full details		Java WebSphere, MS-SQL Server, MS Access, Sybase Adaptive Server Enterprise (ASE), IIS 7.5, MS SQL Server Enterprise, IBM Content Manager, QuickBooks/C#/.NET, Altapoint Practice Management, DB2, Btrieve, PowerBuilder, T-Hub, Sunshop, Quickbooks, Java, UMD, Siteminder, DB2,	Salt Lake DTS Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III 20 systems	20 Business Applications used in day to day operations of Human Services. Tier III,	see DTS Application by Tiers – Appendix C database for full details		Powerbuilder, ORACLE, JAVA, TOMCAT, Apache, HTML, Java, jQuery, WSDL, SOAP, XML, Oracle	Salt Lake Data Center	Restore from backup data

**Agency DTS contacts by Environment: Campus B**

Title	Name	Phone #	Cell #
-------	------	---------	--------

<b>IT Director</b>	Kevin VanAusdal	801 297-2730	801 231-9009
<b>Campus Manager</b>	Dallas DiFrancesco	801 297-2710	801 557-2710
<b>Network Supv</b>	Dean Larsen	801 297-2714	801 541-1655
<b>Hosting Supv</b>	Cordell Measells	801 297-2713	801 230-0643
<b>Desktop Supv</b>	Matt Blunk	801 538-4497	
<b>DTS Help Desk</b>		801 538-3440	800-678-3400
<b>SL Data Center</b>		801 538-3889	801 815-6587
<b>Richfield Data Center</b>		801 538-1188	
<b>Emergency Operations Center ESF-2</b>		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Mack McDonald 801 450-1703 <a href="mailto:mackmcdonald@utah.gov">mackmcdonald@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Natural Resources

<http://naturalresources.utah.gov/>

### Agency Mission Statement

The Department of Natural Resources helps ensure Utah's quality of life by managing and protecting the state's natural resources.

### IT Objectives of the Agency

- To provide online agency services to the public and to corporations that do business with the State of Utah
- To assist DNR and its divisions in meeting their goals and objectives through the effective application of information technology.

### Agency Objectives that have IT projects supporting them

- Provide all agency and division services to the public and to business entities online in order to reduce cost and increase efficiency.
- Manage and maintain the state park system so that visitors enjoy the natural, cultural and recreational resources of the state.
- Provide training and education to the public so that recreational activities can be accomplished in safety.
- Prepare documentation that helps protect Utah's public health and safety and make that information available to citizens, corporations and other governmental agencies.
- Improve the overall efficiency of effectiveness of DNR divisions.
- Achieve broad-based support for agency programs by demonstrating the value of these programs to the citizens of the state.
- Expand wildlife populations and conserve sensitive species by protecting and improving wildlife habitat.
- Oversee the State's resources in a manner that encourages prudent use while protecting them for future generations.

### IT involvement and coordination efforts with other State and Local government entities

- None at this time

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **NO**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **NO**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **NO**

Agency/Project has a Documented Disaster Recovery Plan **NO**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System	Description	Business	Environment	Location	Back Up

	Name		Owner			Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	15 Business Applications used in day to day operations of natural Resources Tier II	see DTS Application by Tiers – Appendix C database for full details		Windows Server w/ IIS connected to MS SQL Server database, ColdFusion Server; rSync	Salt Lake Data Center, off site other	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	12 Business Applications used in day to day operations of natural Resources Tier III	see DTS Application by Tiers – Appendix C database for full details		MS SQL Server Enterprise, MS Access 2000, .Net	Salt Lake Data Center	Restore from backup data

**Agency DTS contacts by Environment: Campus D**

Title	Name	Phone #	Cell #
IT Director	Jim Matsumura		801 514-3134
Campus Manager	Jim Howard	801 626-3558	801 540-7046
Network Supv	Jordy Davis	801 538-6127	801 554-5932
Hosting Supv	Aaron Jeter	801 538-6643	801 819-6477
Desktop Supv	Lynn Mccrary	801 538-5426	801 971-2064
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
NA		Sid Groll 801 538-4882 <a href="mailto:sidgroll@utah.gov">sidgroll@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Commerce

<http://www.commerce.utah.gov/>

### Agency Mission Statement

To protect the public interest by ensuring fair commercial and professional practices.

### IT Objectives of the Agency

- Ensure the prompt and appropriate response to agency information technology needs and delivery of infrastructure support, application programming, third party coordination, etc.
- Provide knowledge, products and services that provide and enhance frictionless access to government through the delivery of appropriate online services
- Provide reliable and continual access to accurate and timely data for the licensing of entities and professionals.
- Provide information and support to any new and enhanced services as assigned to the Department through the legislative process.
- Support state enterprise initiatives which promise to provide enhanced or value added services.

### Agency Objectives that have IT projects supporting them

- Promote commerce by ensuring the prompt and appropriate licensure of qualified professionals. (Licensing Enforcement System [LES])
- Promote frictionless access to government through the delivery of appropriate online
- Services. (LES; Controlled Substance Database [CSD]; email; State Construction Registry; Trademark Registration System; Business Entity Search; UCC/CFS imaging System; DBA Online Registration, and a variety of services offered via agency and division websites)
- Protect the public health, safety and welfare by enforcing the licensure standards of professionals. (LES)
- Support new and enhanced services as assigned to the Department by the legislative process. (Annual updating of affected systems; creation of new systems as required [such as 24x7 updating of CSD])
- Support state enterprise initiatives which promise to provide enhanced or value-added services. (Internet presence; all agency web applications such as online renewals, OSBR, etc.)

### IT involvement and coordination efforts with other State and Local government entities

IT supports the agency and works with the government entities that interact with Commerce as requested. For example, this includes the distribution of certain information to cities and towns (such as contractor information with Park City, West Valley City, etc.), law enforcement agencies at different levels for investigations; other state agencies (such as controlled substance data with the Health Department), and the federal government agencies for licensing of real estate and mortgage professional, and those in the securities industry. The agency will also receive data from those and other government entities as needed in the discharge of agency duties and responsibilities. Most of this information is shared via electronic means.

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>



Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	License Enforcement System (LES)	LES is the primary repository of all licensed business entities, and occupational and professional licensees, managed by Commerce	<a href="mailto:kberg@utah.gov">kberg@utah.gov</a>	Oracle Database; PowerBuilder Front End; third party software	Salt Lake DTS Data Center	Restore from backup data
	Commerce Web Services	Web sites of the Department of Commerce	<a href="mailto:tleva@utah.gov">tleva@utah.gov</a>	HTML/PHP site interfacing with a MySQL database	Salt Lake DTS Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	Controlled Substance Database	To record distribution of controlled substances	<a href="mailto:msims@utah.gov">msims@utah.gov</a>		Salt Lake DTS Data Center	Restore from backup data
	IC Verify	Credit card validation and payment processing.	<a href="mailto:kberg@utah.gov">kberg@utah.gov</a>	Third Party software; interface with LES licensing system	Agency location	Restore from backup data
	Kofax Server	Works with IBM Content manager for scanning	<a href="mailto:tleva@utah.gov">tleva@utah.gov</a>	Third Party software; COTS	Salt Lake DTS Data Center	Restore from backup data

		documents.				
	LES Imaging	Official electronic repository for documents submitted to the agency.	<a href="mailto:tleva@utah.gov">tleva@utah.gov</a>	DB2 Universal Database (DB2 UDB)	Salt Lake DTS Data Center	Restore from backup data
	STRES	Database of information of those in the securities industries in Utah.	<a href="mailto:kwoodwell@utah.gov">kwoodwell@utah.gov</a>	Progress 4GL language; Microsoft Server	Agency location	Restore from backup data
	UCC/CFS	repository of data related to UCC lien filings	<a href="mailto:kberg@utah.gov">kberg@utah.gov</a>	Oracle; Java Application, IBM DB2 Database; IBM Content Manager/Webshpere front end	Salt Lake DTS Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	GIA Database	Registry of physical locations of Utah Government entities and their primary contact person	<a href="mailto:kberg@utah.gov">kberg@utah.gov</a>	HTML/PHP site interfacing with a MySQL database	Salt Lake DTS Data Center	Restore from backup data
	Time Matters	Database and contact management	<a href="mailto:bbateman@utah.gov">bbateman@utah.gov</a>	COTS, licensed by LexisNexis, Inc.,	Agency location	Restore from backup data

#### Agency DTS contacts by Environment: **Campus A**

Title	Name	Phone #	Cell #
IT Director	Rick Leimbach	801 530-6688	801 550-3955
Campus Manager	Billy Greer		801 509-0059
Network Supv	Dave Sedei	801 536-9260	
Hosting Supv	Chris Kunde		801 514-2154
Desktop Supv	Diane Pfeifer		801 598-7962
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Thad Levar 801 530-6929 <a href="mailto:tleva@utah.gov">tleva@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Health

<http://www.health.utah.gov/>

### Agency Mission Statement

To protect the public's health through preventing avoidable illness, injury, disability, and premature death; assuring access to affordable, quality health care; and promoting healthy lifestyles.

### IT Objectives of the Agency

- Continued implementation of a Clinical Health Information Exchange (cHIE)
- Exchange of electronic health information in collaboration with community partners
- Continue the enhancement of the All Payer Claims Database
- Begin to develop the new MMIS system
- Enhance the statewide and DOH Master Person Index (MPI)
- Exchange data with the Center for Excellence in Public Health Informatics at the University of Utah
- Implementation of an automated Electronic Laboratory Report
- Implementation of new VISION system to support the WIC (Women Infants and Children) program
- Continue the enhancement of a comprehensive statewide electronic disease surveillance system. (NEDSS)
- Implementation of a new system to support the Medical Examiner's Office
- Ongoing enhancement of the new Pharmacy Point of Sale System
- Implementation of HIPAA 5010 standards in compliance with Federal regulations for electronic submissions
- Securing sensitive agency data through technology and reviewing existing procedures and policies

### Agency Objectives that have IT projects supporting them

Department of Health business objectives of services and programs that protect and promote the health of the citizens of Utah:

- Women, Infants and Children Nutrition Program (WIC)
- Clinical Health Information Exchange (cHIE)
- Master Person Index (MPI)
- All Payer Claims Database (APCD)
- National Electronic Disease Surveillance System (NEDSS)
- Women, Infants and Children Nutrition Program (WIC)
- Newborn Blood Screening (NBS)
- Baby and Toddler Online Tracking System (BTOTS)
- Utah Web based Pre Hospital Patient Record Entry (POLARIS)
- Laboratory Information Management System (LIMS)
- Child Health Advanced Records Management (CHARM)
- Electronic Death Registration System (EDEN)
- Utah Statewide Immunization Information System (USIIS)
- Indicator Based Information System for Public Health (IBIS)
- Environmental Public Health Tracking Program (EPHTP)
- Collection of client level data for the Ryan White Program (CAREWARE)
- Universal Eligibility Screening and Application System (UEASAS) – Utah Clicks

### IT involvement and coordination efforts with other State and Local government entities

- Coordinate with USDA, Mountain States Consortium (Colorado, Utah, and Wyoming) regarding WIC.
- Coordinate with local health departments and clinics regarding medical information and health programs.
- Coordinate with Department of Human Services and Department of Workforce Services for eligibility purposes.
- Coordinate with other states to evaluate and implement a new MMIS system, most recently Michigan, South Dakota, and Washington.
- Coordinate with other states to implement Strategy to Apply Reusable Technology (START). States include Illinois, Minnesota, and Oregon.
- Coordinate with Department of Environmental Quality for laboratory testing and reporting to the Center for Disease Control.
- Coordinate with Department of Human Services and Department of Workforce Services in Child Care Licensing.
- Coordinate with Department of Public Safety for Vital Records data for driver licenses.

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	Eden	Death registration system		LAMP	State Data Center	Restore from backup data
	MMIS Enterprise	Managed Health Care Processing HIPAA/EDI, Interface with UHIN		Oracle database and Oracle application server, Inovis Trusted Link Enterprise (TLE) and custom Java	State Data Center	Restore from backup data

				code on Tomcat		
	USIIS	Holds immunization histories and demographic information		Oracle shared environment, Java, symphonia, and chameleon products	State Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	MMIS Data Warehouse	Data analysis and reporting		Teradata	Salt Lake Data Center	Restore from backup data
	LIMS	Laboratory information management system		Oracle database, Citrix servers, Background Server, link to Rhapsody and GWFax	Salt Lake Data Center	Restore from backup data
	Uintah	Birth registration system		LAMP server	Salt Lake Data Center	Restore from backup data
	USIIS	Securely transfer sensitive data between USIIS and Immunization Providers		Java Web Application	Salt Lake Data Center	Restore from backup data
	WebKIDS	Web Application providing access to Immunization Providers in Utah		Java Web Application	Salt Lake Data Center	Restore from backup data
	WICVision	WIC Eligibility/Voucher system		SLQ Database	Salt Lake Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	Oliver	Vital Records issuance		LAMP server	Salt Lake Data	Restore from

					Center	backup data
	Rose	Fetal death registration		LAMP server	Salt Lake Data Center	Restore from backup data
	USIIS	USIIS Contact Management System		Java Web Application	Salt Lake Data Center	Restore from backup data
	USIIS	User Activation Tool		Java Web Application	Salt Lake Data Center	Restore from backup data

**Agency DTS contacts by Environment: Campus D**

Title	Name	Phone #	Cell #
IT Director	Greg Mead		801 258-1578
Campus Manager	Jim Howard	801 626-3558	801 540-7046
Network Supv	Jordy Davis	801 538-6127	801 554-5932
Hosting Supv	Aaron Jeter	801 538-6643	801 819-6477
Desktop Supv	Lynn Mccrary	801 538-5426	801 971-2064
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
NA		JoAnne Larsen 801 273-6658 <a href="mailto:sjomlarsen@utah.gov">sjomlarsen@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Public Safety

<http://publicsafety.utah.gov/>

### Agency Mission Statement

Our Mission is to provide a Safe and Secure Environment for All People in Utah.

### IT Objectives of the Agency

- Provide service that our customers expect with innovation and value
- Achieve financial targets.
- Strive for operational excellence, which includes streamlining organizational processes.
- Demonstrate to employees that, effort and innovation are valued.

### Agency Objectives that have IT projects supporting them

We are committed to continuous improvement as we focus on our goals and objectives, which include

1. Strengthening Infrastructure
2. Emergency Preparedness, Response, and Recovery
3. Criminal Interdiction
4. Roadway Safety, Education
5. Efficiency through process improvement.

### IT involvement and coordination efforts with other State and Local government entities

- The Department of Public Safety supplies an information gateway between Local Criminal Justice authorities and Federal Agencies.
- The Bureau of Criminal Identification provides access to Federal, State, and local criminal justice information.
- Drivers License interacts with Federal, State, and Local agencies to ensure that Federal and State regulations are enforced.

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

### COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	DPS - BCI Applications	Applications that support BCI	<a href="mailto:aericso@utah.gov">aericso@utah.gov</a>	Delphi Applications - Infomix	Salt Lake Data Center,	Failover to alternate



		business processes		Database	Richfield Data Center	site and data storage
	DPS - Driver License	Provides Applications that support Drivers License	<a href="mailto:nmitchell@utah.gov">nmitchell@utah.gov</a>	Oracle Service Bus	Salt Lake Data Center, Richfield Data Center	Failover to alternate site and data storage
	DPS - RMS	Repository for Accident, Citation, Arrest, and Incident data from Law Enforcemnt Agencies	<a href="mailto:sjudd@utah.gov">sjudd@utah.gov</a>	Oracle Service Bus, Informix.	Salt Lake Data Center, Richfield Data Center	Failover to alternate site and data storage
	DPS - UCJIS	Provides Law Enforcement access to Criminal Justice Information.	<a href="mailto:aericso@utah.gov">aericso@utah.gov</a>	Oracle Service Bus, Sun Application Server, Informix.	Salt Lake DTS Data Center, Richfield Data Center	Failover to alternate site and data storage
	DPS - UHP Mobile Data System	Provides Mobile Data collection for UHP records (Traffic Accident, Citation, Incident, etc)	<a href="mailto:sjudd@utah.gov">sjudd@utah.gov</a>	Fatpot, SQL Server	Salt Lake DTS Data Center, Richfield Data Center	Failover to alternate site and data storage

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	DPS - Content Manager	Provides Document Imaging for Driver License and BCI	<a href="mailto:nmitchell@utah.gov">nmitchell@utah.gov</a>	IBM Content Manager	Salt Lake DTS Data Center	Restore from backup data
	DPS - Crystal	Provides Business	<a href="mailto:jbrown@utah.gov">jbrown@utah.gov</a>	Crystal Reports	Salt Lake DTS	Restore from

	Reports	Analytics for Public Safety agencies.			Data Center	backup data
	DPS - File and Print Sharing	Novell File and Print Sharing.	<a href="mailto:jbrown@utah.gov">jbrown@utah.gov</a>	Novell	Salt Lake DTS Data Center	Restore from backup data
	DPS - POST Training System	Applications that provide training and testing for Law Enforcement StateWide.	<a href="mailto:jjacobs@utah.gov">jjacobs@utah.gov</a>	Adobe, Envisage, Oracle.	Salt Lake DTS Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

**Agency DTS contacts by Environment: Campus C**

Title	Name	Phone #	Cell #
IT Director	Phil Bates		801 209-9343
Campus Manager	Kelly Sharp		801 598-3577
Network Supv	Tim King	801 965-4935	
Hosting Supv	Adam Sorensen	801 957-8574	801 641-2909
Desktop Supv	Ralph Judd	801 652-5184	801 652-5184
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
N/A		Alan Workman 801 <a href="mailto:aworkman@utah.gov">aworkman@utah.gov</a>
	DEM/COOP site <a href="https://sites.google.com/site/continuityworkinggroupputah/home">https://sites.google.com/site/continuityworkinggroupputah/home</a>	Susan Thomas 801 538-3400 C 801 889-6964 <a href="mailto:susanmthomas@utah.gov">susanmthomas@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Department of Workforce Services

<http://jobs.utah.gov/>

### Agency Mission Statement

We strengthen Utah's economy by supporting the economic stability and quality of our workforce.

### IT Objectives of the Agency

- Provide maximum system availability
- Build software that supports business processes with good functionality that is easy to use.
- Provide quick and thorough response to any problem.
- Be cost effective
- Provide new and innovative technical solutions for DWS that will help them reduce costs.

### Agency Objectives that have IT projects supporting them

- Unemployment Insurance Benefits (CUBS)
- Unemployment Insurance Tax (CATS)
- Employment and Case Management (UWORKS)
- Eligibility (eREP, eFIND, eSHARE, ePACMIS)
- ESD TOS (myCase, eREP)
- Imaging – (Content Manager)
- Federal Projects (QCEW, Projection Suite, FLC data)
- MIS Reporting
- DWS web home page (jobs.utah.gov).

### IT involvement and coordination efforts with other State and Local government entities

- We share eligibility data and have numerous interfaces with DoH, DHS and ORS.
- We are developing the new UtahFutures system in partnership with Education
- We work with Public Safety to get access to driver's license data.
- We assisted DoH and DHS with their data warehouses.
- We share employer data with Commerce, Tax Commission and some cities in our onestop employer registration.
- Our collections system interfaces with courts.
- We have numerous interfaces with State Finance.
- Our eFIND system interface with numerous State, local and federal entities.
- UWORKS shares data with Voc Rehab.
- We share data with the Dept. of Labor and Workman's Comp.
- We do the data gathering for ORS' new hire data.
- We provide unemployment data to numerous State agencies.
- We have an interface with Tax Commission for CHIP.

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **YES**

Agency/Project has a Written Business Resumption Plan **YES**

Agency/Project has a business requirement for 24/7 **YES**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **YES**

Agency/Project has a Documented Disaster Recovery Plan **YES**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	DWS Core Web Framework	Intranet authentication	<a href="mailto:dostrom@utah.gov">dostrom@utah.gov</a>	Oracle - Java - .NET	Salt Lake DTS Data Center	Restore from backup data
	DWS CUBS	Provides Unemployment Insurance Benefits for the State of Utah	<a href="mailto:mbeebe@utah.gov">mbeebe@utah.gov</a>	Oracle - Versata	Salt Lake DTS Data Center, Richfield Data Center	Restore from backup data
	Single Sign on	Provide DWS external applications with a single sign solution.	<a href="mailto:dostrom@utah.gov">dostrom@utah.gov</a>	Oracle - Java - .NET	Salt Lake DTS Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days					
Tier	System Name	Description	Business Owner	Environment	Location
II	27 Business Applications used in day to day operations of natural Workforce Services Tier II	see DTS Application by Tiers – Appendix C database for full details	<a href="mailto:jpierpo@utah.gov">jpierpo@utah.gov</a>	Oracle- Java Oracle - Versata DB2 - Content Manager CM DB2, eClient, Windows Client Oracle - ASP DB2 - Curam LifeRay Oracle - Oracle Forms/Reports/Designer	Salt Lake DTS Data Center

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	15 Business Applications used in day to day	see DTS Application by Tiers – Appendix C database for	<a href="mailto:jpierpo@utah.gov">jpierpo@utah.gov</a>	Oracle- Java Oracle - Versata DB2 - Content Manager CM DB2, eClient, Windows Client	Salt Lake DTS Data Center	Restore from backup data

	operations of natural Workforce Services Tier III	full details		Oracle - ASP DB2 - Curam LifeRay Oracle - Oracle Forms/Reports/Designer		
--	---	--------------	--	---	--	--

**Agency DTS contacts by Environment: Campus A**

<b>Title</b>	<b>Name</b>	<b>Phone #</b>	<b>Cell #</b>
<b>IT Director</b>	Mark Schultz		801 580-5311
<b>Campus Manager</b>	Billy Greer		801 509-0059
<b>Network Supv</b>	Dave Sedei	801 536-9260	
<b>Hosting Supv</b>	Chris Kunde		801 514-2154
<b>Desktop Supv</b>	Diane Pfeifer		801 598-7962
<b>DTS Help Desk</b>		801 538-3440	800-678-3400
<b>SL Data Center</b>		801 538-3889	801 815-6587
<b>Richfield Data Center</b>		801 538-1188	
<b>Emergency Operations Center ESF-2</b>		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Cory Moss 801 526-9969 <a href="mailto:cmoss@utah.gov">cmoss@utah.gov</a>
		Raymond Caldwell 801 526-4365 <a href="mailto:rcaldw@utah.gov">rcaldw@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Governors's Office of Economic Development

<http://business.utah.gov/>

### Agency Mission Statement

- To nurture an environment where Utah companies can be successful and the business community can create jobs that raise Utah's citizen's standard of living.
- Revamp Utah's tax structure
- Improve the competitive environment for small and medium-sized companies
- Recruit businesses to our state
- Attract more capital
- Promote growth in target industries
- Enhance Utah's national and international image
- Capture global opportunities for Utah companies
- Promote tourism
- Energize economic development in rural communities
- Make state government more efficient

### IT Objectives of the Agency

- Enhance GOED Web Presence
- Create an infrastructure that enables market analysis and tracking
- Capture and preserve institutional knowledge through use of CRM

### Agency Objectives that have IT projects supporting them

- Tourism "Lure" web channel
- Health Care Reform
- Customer Relationship Management
- 

### IT involvement and coordination efforts with other State and Local government entities

The Office of Tourism collaborates with the Department of Heritage and Arts and Salt Lake Chamber in the NowPlayingUtah.com project. GOED also works hand-in-hand with many local government entities in assisting small business and rural development.

GOED works extremely close with USTAR and WTC with one being governmental and the other being a non-profit 503c organization.

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **No**

Agency/Project has a Written Business Resumption Plan **No**

Agency/Project has a business requirement for 24/7 **No**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **No**

Agency/Project has a Documented Disaster Recovery Plan **No**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II						

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus A**

Title	Name	Phone #	Cell #
IT Director	Scott Wolford		801 707-4942
Campus Manager	Billy Greer		801 509-0059
Network Supv	Dave Sedei	801 536-9260	
Hosting Supv	Chris Kunde		801 514-2154
Desktop Supv	Diane Pfeifer		801 598-7962
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

### Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:

Title	Files Link	POC
N/A		
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Governors's Office

<http://www.utah.gov/governor/>

### Agency Mission Statement

**Economic Development:** Our state's economy, along with our national economy, is struggling under unprecedented pressure right now. However, Utah is positioned better than any state to recover from the current economic downturn. Through an emphasis on our economic competitiveness we will be able to position our state to excel.

**Energy:** Because of our vast natural resources, Utah can lead our nation in the development of both traditional and renewable energy resources. We should do this through a broad portfolio, such as coal, oil, and natural gas; as well as wind, solar, nuclear, and clean coal. I will lead by example, with a focus on conservation and encouraging the development of new technologies in energy.

**Education:** This is the opportunity for people to develop the skills to succeed in the future. In order for our state to remain competitive we must focus on improving our public education system. A good education is a powerful tool to empower the individual to succeed. An emphasis on attracting and retaining the best teachers into our schools will enable our education system to excel.

**Infrastructure:** With Utah's population projected to more than double in the next 40 years, we must take actions today to anticipate and plan for unprecedented demands on our resources. We will do this through a focus on improving our transportation infrastructure (roads, bridges, and mass transit) while also continuing to develop our much needed water infrastructure.

### IT Objectives of the Agency

To help fulfill the mission of the Governor's office which is:

- Economic Development
- Energy
- Education
- Infrastructure

### Agency Objectives that have IT projects supporting them

- Governance
- Fair and Accurate Elections
- Citizen Servicess
- Fiscal Responsibility

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **Yes**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project has a Documented Disaster Recovery Plan **Yes**



## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	VISTA	Voter registration and election management	<a href="mailto:mcragen@utah.gov">mcragen@utah.gov</a>	Oracle	Salt Lake DTS Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	Budget Prep	This allows for the management of the State Budget.	<a href="mailto:snaegle@utah.gov">snaegle@utah.gov</a>	Java w/Oracle Database	Salt Lake DTS Data Center	Restore from backup data
	Disclosures	Allow the disclosure of donations to elected officials	<a href="mailto:mjthomas@utah.gov">mjthomas@utah.gov</a>	MSSql	Salt Lake DTS Data Center	Restore from backup data
	Lobbyist System	This allows for the entry of information about lobbyists and their contributions.	<a href="mailto:mjthomas@utah.gov">mjthomas@utah.gov</a>	Supported by UII	Salt Lake DTS Data Center	Restore from backup data
	PLPCO	management Public Lands	<a href="mailto:judyedwards@utah.gov">judyedwards@utah.gov</a>	Java w/Oracle Database	Salt Lake DTS Data Center	Restore from backup data

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus CAPITOL**

Title	Name	Phone #	Cell #
IT Director	Brent Clverly	801 538-3132	801 259-6808
Campus Manager	Cindy Hardman	801 538-9767	801 557-2710
Network Supv	Ed Partridge	801 538-3690	801 243-1833
Hosting Supv	Dale Hicks	801 538-3417	801 809-2878
Desktop Supv	Michael Hussey		801 541-1239

<b>DTS Help Desk</b>		801 538-3440	800-678-3400
<b>SL Data Center</b>		801 538-3889	801 815-6587
<b>Richfield Data Center</b>		801 538-1188	
<b>Emergency Operations Center ESF-2</b>		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Jackie Jameson 801 538-1536 <a href="mailto:jjameson@utah.gov">jjameson@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Public Service Commission

<http://www.psc.utah.gov/>

### Agency Mission Statement

The primary responsibility of the Commission is to ensure safe, reliable, adequate, and reasonably priced utility service. It conducts hearings and investigations of utility company operations in order to determine just and reasonable rates for service. The Commission strives to protect efficient, reliable, reasonably-priced utility service for customers, and to maintain financially healthy utility companies. These goals are attained through the regulatory decisions the Commission makes and through rules it adopts.

### IT Objectives of the Agency

- Utilize DTS resources effectively and efficiently to accomplish the mission, goals and objectives of the Public Service Commission (PSC).
- Make all business and public services of PSC available on the web inasmuch as funding and business processes will allow.
- Reduce overall costs to the Commission and support staff through the effective application of technology.

### Agency Objectives that have IT projects supporting them

Implement a new document management system available to the PSC, as well as to businesses and customers of the utilities regulated by the Commission.

### IT involvement and coordination efforts with other State and Local government entities

- None at this time

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **Yes**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **No**

Agency/Project has a Documented Disaster Recovery Plan **No**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I						

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II						

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus A**

Title	Name	Phone #	Cell #
IT Director	Rick Leimbach	801 530-6688	801 550-3955
Campus Manager	Billy Greer		801 509-0059
Network Supv	Dave Sedei	801 536-9260	
Hosting Supv	Chris Kunde		801 514-2154
Desktop Supv	Diane Pfeifer		801 598-7962
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

### Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:

Title	Files Link	POC
N/A		Gary Widerburg 801 530-6713 <a href="mailto:gwiderburg@utah.gov">gwiderburg@utah.gov</a>
		Darlene Cooper 801 530-6715 dcooper@utah.gov
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Utah Department of Corrections

<http://www.corrections.utah.gov/>

### Agency Mission Statement

We envision a culture where honor, accountability, and integrity are reflected in our conduct. In so doing, we foster an environment rich in professionalism, compassion, collaboration, and dedication. Together, we are a fair, focused, innovative, and energized team.

### IT Objectives of the Agency

- Continue the implementation of Business Intelligence (COGNOS) projects that will allow the agency to effectively manage offenders and facilities.
- Continue development, implementation and modification of Web O-Track.
- Improve the external and internal websites (Navigation, content, updateability and integration with other applications).
- Complete the migration of NORM from Nav5 to Nav6

### Agency Objectives that have IT projects supporting them

- Maintain a safe and secure prison system
- Protect the public
- Rehabilitate offenders
- Improve working conditions for staff
- Provide Constitutionally mandated cost-effective medical care
- 

### IT involvement and coordination efforts with other State and Local government entities

- Many other Utah State and Local law enforcement / criminal justice agencies utilize Offender Management System information through either our external O-Track system or via web services that we provide.
- The department has an on-going contract with OffenderWatch to provide the statutorily required sex and kidnap registry. The department also has an on-going contract with Keefe, who provides kiosk and web based financial services for offenders and their families

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **Yes**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project has a Documented Disaster Recovery Plan **Yes**

## COOP/DR Agency Information

### Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	Keystone 600n and Intellikey	DIO key tracking	<a href="mailto:sturley@utah.gov">sturley@utah.gov</a>		Salt Lake DTS Data Center	Restore from backup data
	Count Movement Backup System	Management of prisoner movemet and location	<a href="mailto:sturley@utah.gov">sturley@utah.gov</a>	PowerBuilder	Salt Lake DTS Data Center	Restore from backup data
	INET	Control prison access points	<a href="mailto:gpeay@utah.gov">gpeay@utah.gov</a>		Salt Lake DTS Data Center	Restore from backup data
	M TRACK	This system maintains health care record information about inmates			Salt Lake DTS Data Center	Restore from backup data
	O TRACK	Corrections offender tracking system.	<a href="mailto:mhaddon@utah.gov">mhaddon@utah.gov</a>	Informix	Salt Lake DTS Data Center	Restore from backup data
	PSSOCKET	Share rap sheets with DPS	<a href="mailto:BTHOMAS@utah.gov">BTHOMAS@utah.gov</a>	In-house Web Application, Tomcat	Salt Lake DTS Data Center	Restore from backup data
	ucjis_2	UCJIS web application shared with DPS	<a href="mailto:BTHOMAS@utah.gov">BTHOMAS@utah.gov</a>	In-house Web Application, Tomcat	Salt Lake DTS Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	15 Business Applications used in day to day operations of Corrections	see DTS Application by Tiers – Appendix C database for full details	<a href="mailto:mhaddon@utah.gov">mhaddon@utah.gov</a>	MS SQL Server Standard, Tomcat, Informix, IBM Cognos,	Salt Lake DTS Data Center and on location	Restore from backup data

	Tier II					
--	---------	--	--	--	--	--

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	19 Business Applications used in day to day operations of Corrections Tier III	see DTS Application by Tiers – Appendix C database for full details	<a href="mailto:mhaddon@utah.gov">mhaddon@utah.gov</a>	MS SQL Server Standard, Tomcat, Informix, IBM Cognos,	Salt Lake DTS Data Center and on location	Restore from backup data

**Agency DTS contacts by Environment: Campus C**

Title	Name	Phone #	Cell #
IT Director	Bill Boudreau	801 545-5508	801 865-2435
Campus Manager	Kelly Sharp		801 598-3577
Network Supv	Tim King	801 965-4935	
Hosting Supv	Adam Sorensen	801 957-8574	801 641-2909
Desktop Supv	Ralph Judd	801 652-5184	801 652-5184
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
N/A		Dean Kelshaw <a href="mailto:dkelshaw@utah.gov">dkelshaw@utah.gov</a>
		James Webb <a href="mailto:jewebb@utah.gov">jewebb@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Utah Department of Transportation

<http://www.udot.utah.gov/main/>

### Agency Mission Statement

Preserve Infrastructure, Optimize Mobility, Improve Safety and Strengthen the Economy.

### IT Objectives of the Agency

- Magnify Information Access to Internal and External Customers
- Maximize the Value of Technology Investments
- Leverage the Value of Data
- Be Positioned to Take Advantage of New Technologies

### Agency Objectives that have IT projects supporting them

- UDOT Strategic Goal #1: Preserve Infrastructure
- UDOT Strategic Goal #2: Optimize Mobility
- UDOT Strategic Goal #3: Improve Safety
- UDOT Strategic Goal #4: Strengthen the Economy

### IT involvement and coordination efforts with other State and Local government entities

- UDOT has been working with the department of Public Safety to share traffic accident, traffic management, and incident information.
- The UDOT Traffic Operations Center is constantly sharing information with various cities and counties to coordinate traffic signals, traffic flow and resolve traffic incidents.
- UDOT conducts joint research projects with the State's Universities to improve project quality and reduce costs.
- UDOT has various agreements with cities and counties to share fiber communication resources.
- UDOT and the State of Arizona's Motor Carrier Divisions work together to reduce truck down time due to obtaining permits.
- The Department of Transportation is an active participant of AASHTO (American Association of State Highway Transportation Organizations), which brings together all fifty states of the union to develop best practices for transportation and conduct research in new technologies, construction methodologies, and materials.
- UDOT and the State Tax commission share data relating to the payment of taxes by Motor Carrier

### Business Resumption & Disaster Recovery Plan

**Agency Plans located at:** <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **Yes**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project has a Documented Disaster Recovery Plan **Yes**



## COOP/DR Agency Information

### Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	Electronic Highway Project Management (ePM)	Collect and maintain the information relating to pre-construction activities	<a href="mailto:squinn@utah.gov">squinn@utah.gov</a>	Oracle	Salt Lake DTS Data Center	Restore from backup data
	Motor Carrier System (MCS)	Permit issuance for over weight & over sized vehicles, citations, safety investigations & inspections	<a href="mailto:csheppick@utah.gov">csheppick@utah.gov</a>	Oracle	Salt Lake DTS Data Center	Restore from backup data
	Electronic Bid System (EBS)	to document, bid, oversee, submit payments, provide reports, and control	<a href="mailto:sfrandsen@utah.gov">sfrandsen@utah.gov</a>	Oracle	Salt Lake DTS Data Center	Restore from backup data
	TOC / Advanced Traffic Management System	To collect, monitor, control and distribute traffic flow	<a href="mailto:robertclayton@utah.gov">robertclayton@utah.gov</a>	Sybase Adaptive Server Enterprise (ASE)	Agency Location	Restore from backup data
	TOC - TransSuite system	controls status from various field devices	<a href="mailto:robertclayton@utah.gov">robertclayton@utah.gov</a>	MS SQL Server Enterprise	Salt Lake DTS Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	27 Business Applications used in day to day operations of UDOT	see DTS Application by Tiers database for full details		Oracle Oracle – Apex, Cognos	Salt Lake DTS Data Center and on location	Restore from backup data

	Tier II					
--	---------	--	--	--	--	--

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III	21 Business Applications used in day to day operations of UDOT Tier III	see DTS Application by Tiers – Appendix C database for full details		Oracle ArcGIS, GeoServer	Salt Lake DTS Data Center and on location	Restore from backup data

**Agency DTS contacts by Environment: Campus C**

Title	Name	Phone #	Cell #
IT Director	Dave Burton	801 965-4220	801 712-8643
Campus Manager	Kelly Sharp		801 598-3577
Network Supv	Tim King	801 965-4935	
Hosting Supv	Adam Sorensen	801 957-8574	801 641-2909
Desktop Supv	Ralph Judd	801 652-5184	801 652-5184
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

Title	Files Link	POC
N/A		Dean Kelshaw <a href="mailto:dkelshaw@utah.gov">dkelshaw@utah.gov</a>
		James Webb <a href="mailto:jewebb@utah.gov">jewebb@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Utah Insurance Department

<http://www.insurance.utah.gov/>

### Agency Mission Statement

The Mission of the Utah Insurance Department is to foster a healthy insurance market by promoting fair, reasonable and responsive practices that ensure available, affordable and reliable insurance products and services.

The mission of the department will be accomplished by educating, serving and protecting insurance consumers and other industry participants and other governmental agencies at a reasonable cost.

We cooperate with and serve state and other governmental agencies in fulfilling these responsibilities.

### IT Objectives of the Agency

- Offer superior service and support to UID through DTS.
- Implement business driven technology needs.
- Implement Sircon for States Paid enhancements.
- Implement Utah Interactive based application enhancements.
- ECM Roadmap and Implementation RFP.
- Track desktop support calls and resolution time.
- Track applications support calls and resolution time.
- Track first contact resolutions.
- Create a business resumption plan (CoOP) that is real and funded based on the "Ops Plan is the CoOP Plan" concept.
- Expand capabilities for application deployment, desktop/laptop patching, monitoring and desktop imaging.
- Expand network application monitoring.
- Evaluate and gain expertise in Open Office.
- Fully implement subversion for all in-house development work.
- Fully implement JIRA or Mantis for Insurance development bug tracking.
- Implement Healthcare Initiatives to support Health Care Reform.

### Agency Objectives that have IT projects supporting them

Educating, serving and protecting insurance consumers and other industry participants and other governmental agencies.

### IT involvement and coordination efforts with other State and Local government entities

The Utah Insurance Department hosts the SIRC (Sircon Insurance Regulators Consortium) Shareware Server which currently Utah, Georgia, Colorado, Oklahoma, Virginia, and Wisconsin are using in production environments. Idaho will be pending.

As part of healthcare reform the UID is developing a transparency database that will be used on the State's Health Exchange for Exchange users to compare the various offerings available through the portal. This project requires coordination between GOED, UID and HHS, UID's licensing application vendor Sircon Corporation and UID's web developer Utah Interactive LLC.

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **Yes**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project has a Documented Disaster Recovery Plan **Yes**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	I-Site / NIPR-P	central repository of producer licensing information		Oracle	Salt Lake DTS Data Center	Restore from backup data
	Sircon CX / Sircon	Insurance Industry interaction		Oracle	Offsite COTS	

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II						

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus CAPITOL**

Title	Name	Phone #	Cell #
IT Director	Brent Clverly	801 538-3132	801 259-6808
Campus Manager	Cindy Hardman	801 538-9767	801 557-2710
Network Supv	Ed Partridge	801 538-3690	801 243-1833
Hosting Supv	Dale Hicks	801 538-3417	801 809-2878
Desktop Supv	Michael Hussey		801 541-1239
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:

Title	Files Link	POC
-------	------------	-----

N/A		Meldee Love 801 537-9146 <a href="mailto:mrlove@utah.gov">mrlove@utah.gov</a>
		Tracy Klausmeier 801 538-3869 <a href="mailto:tklausmeier@utah.gov">tklausmeier@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## Agency: Utah Labor Commision

<http://laborcommission.utah.gov/index.html>

### Agency Mission Statement

The mission of the Utah Labor Commission is to lead in achieving safety and fairness in Utah's workplaces.

### IT Objectives of the Agency

Maximize IT Resources by:

- Utilize DTS resources effectively and efficiently to accomplish the mission, goals and objectives of the Labor Commission
- Make all business and public services of the Labor Commission available on the web inasmuch as funding and business processes will allow
- Reduce overall costs to the Commission and support staff through the effective application of technology

### Agency Objectives that have IT projects supporting them

- Ensure all Utah workers are covered by workers' compensation insurance
- Ensure Utah insurance carriers are reporting coverage in a timely manner.
- Monitor employers applying for and qualifying for self insured status.
- Track all work related injuries within the state and the insurance carrier response for medical payments for work related injuries
- Provide mediation between employers and employees to resolve conflict
- Make the workplace free from discrimination and harassment.
- Promote fair hiring practices, payment of wages, and a fair working environment.
- Enforce child labor laws.
- Promote fair practices in buying, selling and renting of property.
- Monitor the workplace for safety and consult with employers to make the workplace safer.
- Monitor and Inspect all boilers, pressure vessels, elevators, and moving walkways within the state
- Provide certification to Utah miners and consultation with mine owners to make the Utah

### IT involvement and coordination efforts with other State and Local government entities

- The Labor Commission and Department of Workforce Services (DWS) continue to partner in the sharing and coordinating of employer data.
- The Labor Commission also utilizes interfaces with Division of Finance for the electronic processing of Payments.
- The Labor Commission continues to partner with several business partners in the private sector to receive and transmit information regarding but not limited to workers compensation data, cost of injury data, employer data, and benefit information. Some of these entities include Workers Compensation Fund, UUI, National Council on Compensation Insurance, Pinnacle Inc, Medical Providers and Clinics, Federal HUD and EEOC.

### Business Resumption & Disaster Recovery Plan

Agency Plans located at: <https://enterprise.sungard.com/>

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **NO**

Agency/Project has a Written Business Resumption Plan **NO**  
 Agency/Project has a business requirement for 24/7 **NO**  
 Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **NO**  
 Agency/Project has a Documented Disaster Recovery Plan **NO**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	Labor Commission Information System	UOSH Case Management System	<a href="mailto:lsilva@utah.gov">lsilva@utah.gov</a>	Sybase Adaptive Server Enterprise (ASE)	Salt Lake DTS Data Center	Restoration from backups

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
II	Labor Commission Information System with 12 components and 28 subsystems	UOSH Case Management System	<a href="mailto:lsilva@utah.gov">lsilva@utah.gov</a>	Sybase Adaptive Server Enterprise (ASE)	Salt Lake DTS Data Center	Restoration from backups

Tier III Systems – Non Essential Systems availability after 30 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III						

### Agency DTS contacts by Environment: **Campus A**

Title	Name	Phone #	Cell #
IT Director	Rick Leimbach	801 530-6688	801 550-3955
Campus Manager	Billy Greer		801 509-0059
Network Supv	Dave Sedei	801 536-9260	
Hosting Supv	Chris Kunde		801 514-2154
Desktop Supv	Diane Pfeifer		801 598-7962
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

**Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:**

<b>Title</b>	<b>Files Link</b>	<b>POC</b>
N/A		Dave Lamb 801 530-6818 C 801 419-3605 <a href="mailto:dlamb@utah.gov">dlamb@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	



## Agency: Utah Tax Commission

<http://tax.utah.gov/>

### Agency Mission Statement

Our mission is to collect revenue for the state and local governments and to equitably administer tax and assigned motor vehicle laws.

### IT Objectives of the Agency

- Keep the Lights On: all the software, systems and infrastructure now in place must keep working since processing of information is the primary business activity of the Tax Commission.
- Implement Legislation: support the legislature as laws affecting agency business change, ensuring changes are implemented as efficiently and effectively as possible.
- Improve and Expand Services Offered On Line: support agency efforts to provide services to citizens via the internet by improving existing services and implementing new services.
- Deliver Better Tools for Better Results: identify, prioritize and implement proposed enhancements to existing systems or new systems that support the agency's mission.

### Agency Objectives that have IT projects supporting them

- Better Tools for Better Results
- Make Compliance Easier – Make Evasion Harder

### Business Resumption & Disaster Recovery Plan

Agency/Project has a Federal or State requirement for a Written Business Resumption Plan **Yes**

Agency/Project has a Written Business Resumption Plan **Yes**

Agency/Project has a business requirement for 24/7 **No**

Agency/Project has a Federal or State Requirement for a Written Disaster Recovery Plan **Yes**

Agency/Project has a Documented Disaster Recovery Plan **Yes**

## COOP/DR Agency Information

Applications sorted by Tiers – Source Utah Systems business Continuity Form

Tier I Systems – Critical Systems availability within 24 – 48 hours						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
I	LPRS Query	Web service that provides access to PIPS data (a license plate recognition system)	<a href="mailto:KJORGENSEN@utah.gov">KJORGENSEN@utah.gov</a>	SQL Server	Salt Lake Data Center	Restore from backup data

Tier II Systems – Essential Systems availability within 7 – 28 days						
Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy

II	Hannibal	MVED Field Inquiry	<a href="mailto:KJORGENSEN@utah.gov">KJORGENSEN@utah.gov</a>	Oracle	Salt Lake DTS Data Center	Restore from backup data
	MVA/NCIC	Identify stolen vehicles	<a href="mailto:KJORGENSEN@utah.gov">KJORGENSEN@utah.gov</a>	PowerBuilder, Oracle	Salt Lake DTS Data Center	Restore from backup data

#### Tier III Systems – Non Essential Systems availability after 30 days

Tier	System Name	Description	Business Owner	Environment	Location	Back Up Strategy
III 20 systems	7 Business Applications used in day to day operations of Tax. Tier III,	see DTS Application by Tiers – Appendix C database for full details			Salt Lake Data Center	Restore from backup data

#### Agency DTS contacts by Environment: **Campus B**

Title	Name	Phone #	Cell #
IT Director	Kevin VanAusdal	801 297-2730	801 231-9009
Campus Manager	Dallas DiFrancesco	801 297-2710	801 557-2710
Network Supv	Dean Larsen	801 297-2714	801 541-1655
Hosting Supv	Cordell Measells	801 297-2713	801 230-0643
Desktop Supv	Matt Blunk	801 538-4497	
DTS Help Desk		801 538-3440	800-678-3400
SL Data Center		801 538-3889	801 815-6587
Richfield Data Center		801 538-1188	
Emergency Operations Center ESF-2		801 538-9795	

#### Agency COOP/DR documentation including DTS backup and recovery strategies and documentation:

Title	Files Link	POC
N/A		D'Arcy Dixon-Pignaneli 801 297-3906 <a href="mailto:ddixon@utah.gov">ddixon@utah.gov</a>
		Jeff Bawden 801 297-3874 <a href="mailto:jbawden@utah.gov">jbawden@utah.gov</a>
	<a href="https://enterprise.sungard.com/">https://enterprise.sungard.com/</a>	

## CONTINUITY OF OPERATIONS PLAN UPDATE / REVIEW LOG

**PLAN COMPLETION DATE:** 9 / 15 / 05

**Executive Management Signature:** Stephen J. Fletcher

**Title: DTS COOP Plan**

**First Update:      Date changes made:** 12 / 1 / 09

Content/Pages Changed: Complete rewrite

Signature of person making updates: Russell Smith

Executive Management Signature: Stephen J. Fletcher

**Second Update:      Date changes made:** 1 / 27 / 11

Content/Pages Changed: Format changes

Signature of person making updates: Russell Smith

Executive Management Signature: Stephen J. Fletcher

**Third Update:      Date changes made:** 10 / 28 / 11

Content/Pages Changed: Revised format and templates

Signature of person making updates: Russell Smith

Executive Management Signature: Stephen J. Fletcher

**Fourth Update:      Date changes made:** 10 / 31 / 12

Content/Pages Changed: Full update with personnel changes

Signature of person making updates: Russell Smith

Executive Management Signature: Mark Van Orden

**Fifth Update:**      **Date changes made:**      \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Content/Pages Changed:      \_\_\_\_\_

Signature of person making updates:      \_\_\_\_\_

Executive Management Signature:      \_\_\_\_\_

**Sixth Update:**      **Date changes made:**      \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Content/Pages Changed:      \_\_\_\_\_

Signature of person making updates:      \_\_\_\_\_

Executive Management Signature:      \_\_\_\_\_

**Seventh Update:**      **Date changes made:**      \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Content/Pages Changed:      \_\_\_\_\_

Signature of person making updates:      \_\_\_\_\_

Executive Management Signature:      \_\_\_\_\_

**Eighth Update:**      **Date changes made:**      \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Content/Pages Changed:      \_\_\_\_\_

Signature of person making updates:      \_\_\_\_\_

Executive Management Signature:      \_\_\_\_\_

**Ninth Update:**      **Date changes made:**      \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Content/Pages Changed:      \_\_\_\_\_

Signature of person making updates:      \_\_\_\_\_

Executive Management Signature:      \_\_\_\_\_

**Tenth Update:**      **Date changes made:**      \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Content/Pages Changed:      \_\_\_\_\_

Signature of person making updates:      \_\_\_\_\_

Executive Management Signature:      \_\_\_\_\_

## Continuity of Operations Plan Exercise log

### First Exercise:

### DTS call tree exercise

Exercise scheduled on: 1 / 18 / 12

Exercise held on: 1 / 18 / 12

Exercise objectives achieved? Yes

Changes needed? Update contact info

Changes assigned to: Russell Smith

Exercise Report Reviewed By: Stephen J. Fletcher

Title: CIO, State of Utah

### Second Exercise:

### Utah Shake Out 2012

Exercise scheduled on: 4 / 17 / 12

Exercise held on: 4 / 19 / 12

Exercise objectives achieved? Yes

Changes needed? See full report

Changes assigned to: Russell Smith

Exercise Report Reviewed By: Stephen J. Fletcher

Title: CIO, State of Utah

### Third Exercise:

### Utah Shake Out 2013 April 16-18

Exercise scheduled on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise held on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise objectives achieved? \_\_\_\_\_

Changes needed? \_\_\_\_\_

Changes assigned to: \_\_\_\_\_

Exercise Report Reviewed By: \_\_\_\_\_

Title: \_\_\_\_\_

---

**Fourth Exercise:**

Exercise scheduled on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise held on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise objectives  
achieved? \_\_\_\_\_

Changes needed? \_\_\_\_\_

Changes assigned to: \_\_\_\_\_

Exercise Report  
Reviewed By: \_\_\_\_\_

Title: \_\_\_\_\_

---

**Fifth Exercise:**

Exercise scheduled on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise held on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise objectives  
achieved? \_\_\_\_\_

Changes needed? \_\_\_\_\_

Changes assigned to: \_\_\_\_\_

Exercise Report  
Reviewed By: \_\_\_\_\_

Title: \_\_\_\_\_

---

**Sixth Exercise:**

Exercise scheduled on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise held on: \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Exercise objectives  
achieved? \_\_\_\_\_

Changes needed? \_\_\_\_\_

Changes assigned to: \_\_\_\_\_

Exercise Report  
Reviewed By: \_\_\_\_\_

Title: \_\_\_\_\_

# WORKSHEET 1 COOP PROGRAM MANAGEMENT TEAM: ROLES AND RESPONSIBILITIES

Basic COOP Planning Stage	
Department/Agency: (Department of Technology Services)	
Roles/Designated Position	General Responsibilities
<p>Senior Leadership: Mark VanOrden 801 538-3298 MVANORD@utah.gov Alternate: Kenneth Petersen 801 538-3298 KGPETERSEN@utah.gov</p>	<p>Senior Leadership serves as the senior coordinator for the overall COOP Program.</p>
<p>COOP Coordinator: Russell Smith 801 514-3125 RussellSmith@utah.gov Alternate: Norm Johnson 801 538-3021 NormJohnson@utah.gov</p>	<p>The Coordinator is the primary point of contact for the department/agency's COOP program, and is responsible for COOP program development. This position will be the liaison for departments that are dependent on, or are dependencies for, your department or agency. The Coordinator develops and coordinates a comprehensive series of activities that will enable an agency to perform essential functions during any emergency or act of terrorism. Solicits "buy-in" and markets the COOP Program to senior management. The Coordinator works with Planning Team members to develop the Multi-Year Strategy and Program for Plan Maintenance.</p>
<p>Continuity Planner: Russell Smith 801 514-3125 RussellSmith@utah.gov Alternate: Norm Johnson 801 538-3021 NormJohnson@utah.gov</p>	<p>This position serves as task manager for plan components and procedure development, and acts as a liaison for team members preparing/writing COOP plan components and procedures.</p>

<p>COOP Planning Team Members:</p> <p>Melissa Brown 801 538-3298 mbrown@utah.gov</p> <p>Gordy Coles 801 556-1886 gcoles@utah.gov</p> <p>Richard Madsen 801 538-3679 RJMADSEN@utah.gov</p> <p>Debbie Naegle 801 538-1292 DNAEGLE@utah.gov</p>	<p>Assists the Continuity Planner within each department to gather specific procedural information regarding processes, essential functions, equipment, supplies, data, teams, tasks, dependencies, supply chain issues, etc.</p>
--	---

Intermediate COOP Planning Stage	
<p>COOP Coordinator:</p> <p>Russell Smith 801 514-3125 RussellSmith@utah.gov</p> <p>Alternate: Norm Johnson 801 538-3021 NormJohnson@utah.gov</p>	<p>Schedules and coordinates training of all critical personnel identified as “mission essential personnel” for the department. Schedules, coordinates, and documents the results (and lessons learned) of the exercising and testing of the COOP plan to maintain viability. Additionally, this position establishes a review cycle for the COOP plan to maintain readiness and viability.</p>
<p>Legal Compliance Counsel</p> <p>Attorney General Office Paul Tonks 801 366-0353 ptonks@utah.gov</p>	<p>Monitors and administers compliance activities for all identified critical functions, leadership positions, and all associated authorities.</p>
<p>Public Information Officer:</p> <p>Stephanie Weiss 801 538-3284 STWEISS@utah.gov</p>	<p>This position is responsible for disseminating accurate and precise information to the public, managing media contacts, and preparing press releases.</p>



COOP Administration/Logistics Support Officer  Heidi Rollins 801 538-3462 hacree@utah.gov	Based on critical functions identified, assembles and pre-positions necessary resources, documents, and equipment. Additionally, orders supplies and coordinates with facility management to ready emergency operations site(s).
--	--

# DTS GENERAL PLAN

## MANAGEMENT AUTHORIZATION

The Utah Department of Technology Services, (DTS), has a clear mandate regarding Continuity of Operations.

## MESSAGE FROM MANAGEMENT / PURPOSE

Historically, agencies within Utah State Government have prepared well to respond to service interruptions within the State. At the same time, those agencies have not always considered how they would respond to an emergency, which directly affected their agency's ability to provide services and continue normal operations. Where plans have existed, most of the time they have focused only on catastrophic events.

While preparations for such major emergencies are important, it is equally important to address emergencies with less severity but much more frequency. For example, in an average year, most state agencies will be more adversely affected by power outages or severe storms than earthquakes. Even more frequent are relatively minor emergencies (e.g. pipe breaks, computer failures, etc.), which can wreak havoc on an agency's ability to provide services and continue operations. While threats do vary from region to region and state agency to state agency, it is clear that a broader scope of preparedness will assist state agencies in providing services and continuing operations regardless of the hazard or emergency that arises.

The additional reality is that state agencies can be the target or "victim" of emergency demands that all state agencies prepare effectively to continue their operations in the wake of service interruption. Whether the State Office Building has a fire or the Department of Health suffers storm damage, agencies unprepared for emergencies will be unable to provide the services that our customers have come to expect.

The changing nature of emergencies is noteworthy as well. Prior to the World Trade Center attack on September 11, 2001, many did not believe that the citizens of the United States of America would be forced to deal with the issue of terrorism on their own soil. Attitudes have changed.

These changes dovetail with the greater public expectations of federal and state government's role proceeding, during, and after an emergency of any type. The public has generally been very unwilling to overlook lapses in services, even in the wake of service interruptions. The obligation of DTS is to provide seamless services, especially those involving public safety and health, in spite of any event. The public expects good "customer service" of state government as much as it does from business.

With these issues in mind, agency management is committed to the development and maintenance of an effective continuity of operations/business contingency plan.

## **AUTHORITY**

State of Utah, Governor's Executive Order 2006-0002, State Department Participation in Comprehensive Preparedness Initiative, issued May 1, 2006, provides for all State agencies to complete a Continuity of Operations Plan.

## **SITUATIONS AND ASSUMPTIONS**

The State of Utah and its population are at risk from a variety of threats and potential emergencies, disasters, or catastrophic incidents (Note: a detailed list of identified Risks and Hazards can be found in the State of Utah Hazard Mitigation Plan <http://publicsafety.utah.gov/emergencymanagement/UtahHazardMitigationPlan.html>).

Preparedness efforts in the areas of planning, training, exercises and funding for infrastructure and equipment is ongoing. The occurrence of any of these emergencies, disasters, or catastrophic incidents may require the activation of extraordinary continuity of operations activities, as detailed in this Continuity of Operations Plan.

**Earthquakes.** Earthquakes are considered to be one of Utah's greatest hazards. Utah lies in a zone that is considered to be seismically active. The last major earthquake occurred on the Wasatch Fault approximately 400 years ago. The average interval between major occurrences is 350 years, and affirms the potential for a devastating earthquake resulting in personal injuries and property damage.

**Floods.** Flooding is common in various parts of Utah as a result of a rapid spring snowmelt, and violent thunderstorms.

**Severe Storms.** Severe thunderstorms with hurricane-force winds and hail have caused property damage to homes and businesses. Funnel clouds have been associated with some severe storms. Heavy snowfall from winter storms is common in Utah and may cause power outages or result in the widespread loss of communications.

**Wildland Fires.** Uncontrolled wildland fires cause extensive damage to watershed and rangeland each year in Utah.

**High Winds.** Property damage caused by high winds is not uncommon in Utah, especially near the mouths of canyons.

**Hazardous Material Accidents.** Most hazardous material incidents result from transportation accidents. Since principal highways and rail lines pass through populated communities, potential threats to life and for property damage exist. HAZMAT incidents could require large-scale evacuations or protective sheltering-in-place.

**Landslides, Debris Flows and Avalanches.** These natural phenomena are often associated with seismic events, but frequently occur due to the instability of ground, snow conditions or soil saturation. Landslides and debris flows include flow, slides or rock falls. Avalanches occur each winter due to the unstable snowpack on steep mountain slopes.

**Dam Failure.** The State of Utah has numerous dams that could present a potential threat to downstream life and property in the event of a sudden failure.

**Terrorism and Civil Disturbance.** The threat of terrorism in Utah is increasing. Terrorism may include Weapons of Mass Destruction, Bio-Terrorism, Agro-Terrorism or

Cyber-Terrorism. The Department of Public Safety has established procedures to continue operations in the event of terrorism or civil unrest.

**Drought.** Utah is situated in one the more arid regions of the United States. Drought conditions have reoccurred over the years. Drought is one of the State's more common disasters. It is devastating to water supplies, agriculture and causes an increase in severity of forest and range fires.

**Health.** Health and medical emergencies, e.g., pandemic influenza, are of great concern to the State of Utah. The safety, welfare and economic well-being of the residents and visitors to Utah are greatly dependent on the State's ability to continue services during health and medical emergencies.

**Animal Disease.** Livestock production is an important part of the economy of Utah. Animal disease emergencies are a growing concern and could have extensive economic impact on the State.

### Disaster Condition

1. An emergency, disaster, major catastrophe or terrorist incident may overwhelm the capabilities of the Department to provide a timely and effective response. For example, the occurrence of a catastrophic earthquake in a high-risk, high-population area such as the Calvin L. Rampton headquarters complex will cause casualties, property loss, a disruption of normal life-support systems and impact the regional economic, physical and social infrastructures.
2. An emergency, disaster, major catastrophe or terrorist incident has the potential to cause substantial health and medical problems within the Department and its employees.
3. An emergency, disaster, major catastrophe or terrorist incident may cause significant damage to the Department's physical infrastructure and operational capabilities. For example, an earthquake or catastrophic dam failure may significantly damage or destroy highway, airport, railway, communications, water, waste disposal, electrical power, natural gas and petroleum transmission systems.

### Assumptions

1. An unforeseen emergency, disaster or major catastrophe, such as an earthquake or terrorist incident may occur with little or no warning and produce maximum casualties and widespread damage. This COOP plan assumes that the service capabilities of the Department will be quickly overwhelmed.
2. The large number of casualties and/or the significant damage to Department buildings, structures and the basic infrastructure will necessitate State and possibly federal government assistance to support The Department in conducting life-saving and life-support efforts.
3. As the result of Department personnel being injured and or trapped in damaged or destroyed structures, the likelihood of a significant number of deaths and injuries will require the immediate response of Department officials to continue operations.

4. Utah Department of Public Safety agencies may need to respond on short notice to continue effective and timely services and assistance to local governments to help alleviate suffering and protect property.

## **FUNCTIONAL ROLES AND RESPONSIBILITIES**

### **Continuity of Operations Team**

Key individuals have been appointed to the Continuity of Operations Team based on their knowledge of the agency's policies and operations and on their authority to act in time of crisis. In the event an impact situation is declared and this plan is put into action, all employees are directed and empowered to take direction from Continuity of Operations Team members until the condition is resolved and normal lines of authority have been restored.

If a disruption is imminent or should occur, the Continuity of Operations Team members will immediately contact the other members of the team and establish an appropriate communication plan under the circumstances. This will normally entail a meeting at the designated Recovery Control Location. Once a disruption situation is declared, the Continuity of Operations Team is empowered to act in all affairs pertaining to the Agency. It is the duty of all team members to respond and participate in the management of the event. If a team member is unable to respond, the remaining team members will function as the Continuity of Operations Team.

The Continuity of Operations Team as listed in Worksheet 1, is arranged in order of authority. When the team has assembled, the individual highest on the list will organize and direct the team

## **CONTINUITY OF OPERATIONS TEAM**

Currently DTS monitors and maintains Hardware and Software systems 24 x 7 x 365 in their Salt Lake and Richfield computer operations centers for business resumption (BR). In addition to this, technical staffs are on call after normal business hours to include nights and weekends. DTS maintains a tiered support structure in the event of an outage that allows the first line of technical support to elevate the urgency of repair to higher levels of technical support.

If a disaster should occur, it is the intent of the Department of Technology Services (DTS) to have a team established that will oversee recovery operations. The team will operate out of the State EOC (Emergency Operation Center) ESF-2 with agency coordination out of either the Salt Lake or Richfield Data Centers.

DTS will be using a Business Continuity/Disaster Recovery (BC/DR) software planning tool that will encompass Business Impact Analysis (BIA), Business Continuity Planning (BCP) and Incident Management (IM). These tools will enable us to identify and build COOP teams to support the State of Utah business needs in the event of a disaster. This tool is Sunguard/Strohl software and is managed and accessed outside of the state of Utah and is accessible via the internet at <https://enterprise.sungard.com>

## **LOGISTICS SUPPORT AND RESOURCES REQUIREMENTS**

Logistics support and resource requirements for implementation of this plan to carry out essential functions are identified, including, but not limited to, staffing, technology, facilities, and office equipment and supplies. If external support or resources are required, such as in a catastrophic earthquake when multiple agencies are impacted, requests for assistance will be forwarded to the State Emergency Operations Center. In turn, the EOC will direct the request to an appropriate state agency or to Emergency Support Function 7 (ESF 7), Resource Support.

The Department of Administrative Services (DAS) and Department of Technology Services (DTS) are key support agencies for ESF 7. DAS' Division of Facilities and Construction Management (DFCM) will assist with handling requests for the securing of alternate facilities. DTS provides support for information technology and communications.

Depending upon the situation, if the Department cannot adequately staff its essential functions it can request assistance from the Department of Human Resources. A request could also be handled by the Emergency Management Assistance Compact (EMAC) desk in the State EOC.

Logistics support and resource requirements include access to the State's financial management systems will also be coordinated with the State EOC.

## **CONCEPTS OF OPERATIONS**

Upon the declaration of the COOP plan, senior COOP team leaders and their designated support personnel are to relocate to the nearest functioning Recovery Control Location. Once the team has attained thorough situational awareness, they can begin assessing available facilities to support the critical, essential, and non-essential functions. Depending on the projected duration of the COOP plan, decisions will be made by this team to determine which staff will be called back to work, when and where they are to report.

Critical Essential Functions are to be recovered as quickly as possible and reasonable notifications to other agencies, vendors, contractors, and customers as to the accessibility to these services. All efforts are to minimize the distance and inconvenience needed to safely recover critical functions outside of the affected area.

Essential and non-essential functions will then be addressed, based on the assumed duration of disruption and customer service needs, ability for employees to telecommute and the availability of office space, and budget constraints to locate a long-term, temporary facility.

## **PLAN MAINTENANCE**

This Plan will be reviewed and revised on an annual basis. Call-Down Lists and Phone Numbers will be updated as personnel change. The update will be recorded on the Continuity of Operations Plan Update/Review Log.

## SCOPE OF PLAN

This Continuity of Operations Plan describes in general terms how the Department of Technology Services intends to respond to events that disrupt its normal operations. Disruptions may be minor or may include instances where normal agency functions and services cannot be performed and may not be performed for an extended period of time. Continuity of Operations planning minimizes the impact of disruption while maximizing resources available to resume normal operations. This plan does not focus on what may bring the agency down, but how to get the agency back up and operational. This plan provides a road map of predetermined actions which will reduce decision-making during recovery operations, resume critical services quickly, and enable resumption of normal service at the earliest possible time in the most cost-effective manner. This plan will help in reducing the number and magnitude of decisions that must be made during the period when exposure to error is at a peak. This plan identifies the business resumption (BR) and disaster recovery (DR) capabilities currently in place for DTS.

DTS defines business resumptions as the ability to bring key IT infrastructure back to full operational status within 24 to 48 hours without having to move to a new location. Items that can constitute business resumption are a loss of power, virus attack, loss of internal components related to computing and network hardware, etc. DTS believes business resumption does not require relocation of IT computing environments.

Disaster recovery, on the other hand, would require relocation of IT assets in order to resume critical business services. DR can be delayed by a number of days or weeks depending on the situation.

## CONTINUITY OF OPERATIONS STRATEGY

Effective and timely recovery from an impact situation requires clear thinking and decisive action to restore systems in order of priority. This continuity strategy is provided to assist agency management during the recovery period. Resources are likely to be scarce, communication may be disrupted, frustrations will exist and emotions will be strained. Having a clear strategy will help management work together during the crisis period.

In the attached appendices are lists of the agencies applications and key functions supported by DTS. Each agency has determined their own priorities based on criteria of a Tier system of priority. DTS will resume business functions during an outage and recover from an outage in the event of a disaster based upon these predetermined Tiers and available resources. This will ensure that limited resources will be applied to recover those systems most critical to DTS' ability to provide key IT infrastructure so that the agencies can resume business services to their customers.

Service interruptions can be in three classes: loss of access to technology and data processing capabilities, loss of facilities, or both.

In the event the whole facility housing the agency is destroyed or otherwise unavailable, including the use of the main computer systems, management will relocate to the designated alternate site either Salt Lake or Richfield depending on the area of damage. The agencies should not expect to have data processing services for **at least 24-36 hours** after occurrence. DTS will work with the agencies to identify and assess the most critical business functions to be restored on a priority basis and bring those services on

line first. Other services will be brought on line as system capacity and resources become available.

### **AGENCY FUNCTION IDENTIFICATION (Critical vs. Non-Critical)**

In order to sustain and/or recover agency functions during a time of crisis, it is imperative to understand which functions are critical to each agency's ability to provide services. Priorities must be viewed in a new light in the context of Continuity of Operations. Each function and application an agency performs must be identified and then evaluated in terms of recovery priority.

The biggest challenge to identifying your functions lies in knowing how specific to be. By being more specific you will be able to separate the functions that really must occur from the ones that can be recovered later. How specific you become will depend on the size and complexity of your agency's services.

Utilizing the agencies input from the Appendix C "Agency Applications and Tier Determination" the following tiers have been established.

**Tier I**—Absolutely critical function with must be restored within **24-48 hours** (Agency determined).

**Tier II**—Essential function that must be restored within **7- 28 days** (Agency determined).

**Tier III**—Non-essential function to immediate recovery and Continuity of Operations efforts will be restored as resources permit. **30+ days**

In addition to the Tier systems applications and systems could be prioritized (due to limited resources) based on these 4 priority levels.

1. General public safety (Police, Fire and Medical services)
2. Health including life and death situations
3. Physical harm to people, property, animals and environment
4. General business and commerce environments



## Timeline

This timeline is a summary of the situation reaction and subsequent recovery process. It is designed to help agency management keep perspective and focus during times when abnormal events and subsequent problems can distort the normal judgment and decision processes. A second goal is to educate staff that is not regularly involved in the planning process.

**Note:** Activities occurring within the same time frame will occur simultaneously.

<i><b>Action</b></i>	<i><b>When</b></i>
<b>Chain of Command</b> When communication is available and agency management team members are accessible, the chain of command is not affected. However, this is not always the case and immediate and decisive action is sometimes required to survive a service interruption. Therefore, a clear chain of command is established before a service interruption strikes. Those in the chain of command are prepared to act if called upon.	<b>Before Impact</b>
<b>Situation Assessment</b> The DTS management team is responsible to coordinate an assessment of the situation as quickly as possible. The purpose of this assessment is to identify the scope of the event and to provide the basis for plan implementation. Specific areas that must be evaluated:  <ol style="list-style-type: none"><li>1. The condition and availability of employees</li><li>2. The condition and availability of facilities</li><li>3. The condition of key computer and business systems.</li></ol>	<b>Within 4 Hours</b>
<b>Identify Recovery Control Location(s)</b> Recovery control operations will be from the Salt Lake or Richfield data centers, or Provo or Ogden Regional centers depending on the area of damage.	<b>Within 4 Hours</b>
<b>Initiate Call Down of Staff</b> Once the Recovery Control Location has been cleared for agency occupancy, the DTS management will notify their staff of the situation and probable work assignments.	<b>Within 4 Hours</b>
<b>Plan Implementation</b> Based on the results of the situation assessment, the DTS manager in command may authorize plan implementation. This implementation will authorize individuals on the DTS management team to take appropriate actions to minimize the effects of the situation and maintain the highest possible level of Continuity of Operations as quickly as possible. With plan implementation, special policies will go into effect.	<b>Within 4 Hours</b>

**Public Relations Communication**

A major roadblock to survival and recovery during an event is uncertainty and indecision. DTS will follow the agency's standard operating procedures for situations requiring media coverage. This may include contacting the state Public Information Officer (PIO) for assistance in providing information to media personnel.

**Within 4 Hours****Staffing**

The effect of the service interruption on the staff and the service capability of the agency will determine short-term staffing needs. A staffing plan will be utilized by each DTS section and communicated to each staff member.

**Within 24 Hours****Computer Operations and Data Recovery**

If plan implementation includes computer system recovery, the computer and data backup plan for the agency is immediately put into effect. This may include formal notification of the backup provider, acquisition of data backups, establishment of data communications, travel to the backup site, notification of third party vendors, etc.

**Within 48 Hours****Facilities Recovery (Temporary)**

Based on the event's circumstances, operations will be moved into the Recovery Control Locations provided for in this plan. Basic supplies and forms will be retrieved.

**Within 48 Hours****Critical (Tier I) Functions**

Tier I functions, as defined by the agency business managers, are reestablished.

**Within 48 Hours****Essential (Tier II) Functions**

Less critical services as defined by the business manager as Tier II functions will be restored.

**Within 7- 28 Days****Non-Essential (Tier III) Functions**

Tier III functions, if any, will be provided. It is understood that some services and controls may not be restored until full recovery has been achieved.

**Within 30+ Days****Permanent Repair (Systems and Facilities)**

With basic functions restored in the previous actions, resources can now be devoted to repairing damaged systems and rebuilding facilities. The time and effort required will be based on the circumstances.

**Based On Situation**

### **Long Term Staff Care and Rehabilitation**

Some situations may include severe trauma, including the loss of life. The long-term physical and emotional care and rehabilitation of state agency employees who have suffered losses due to the situation should be provided once the immediate crisis situation has passed.

**Based On Situation**

### **Resumption of Normal Operations**

When facilities have been repaired or rebuilt and systems repaired, operations can be transferred out of temporary facilities, backup computer operations can be terminated and normal operations can be resumed.

**Based On Situation**

### **Assessment of Continuity of Operations Plan and Modification**

Upon the resumption of normal operations a final report must be created for state government leaders. This report should be created from actual recovery logs made during the event and include areas of learned exposures and new recommendations to minimize loss in subsequent events. Abnormal costs due to the service interruption should be identified for possible recovery. The Continuity of Operations Plan should then be modified to incorporate the “lessons learned” by those involved in Continuity of Operations efforts.

**When Recovered**

# Continuity of Operation Actions (Phases 1-7)

## Phase I Emergency Response

**This Phase must be completed within 4 hours from impact.**

Purpose: This initial phase outlines the steps or actions that MUST occur immediately after the impact or interruption occurs and is to ensure the life and safety of employees and visitors to the facilities.

Only if there is no immediate threat to life or safety and there is sufficient time, should additional mitigation efforts to secure property and preserve records be completed prior to evacuation of the business facility.

NOTE: A State Agency emergency event or situation may be either a loss of information processing capability only, a loss of access to normal facilities while information processing capability remains intact, or both. When only information processing is lost, the agency will most likely not relocate to other facilities but await the restoration of the information processing functions. No potential danger to employees exists.

The following immediate emergency actions must take place when damage to the facilities has occurred and where some danger to employees or visitors can be expected.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	<p>Evacuate and take Head-Count as per State Agency Facility Evacuation Plan. As part of evacuation, everyone should follow agency specific emergency response plans for specific situations (i.e. Earthquake, Fire, Flood, Weather, Terrorism, etc.)</p> <p><b>Take Agency Continuity of Operations Plan during evacuation to ensure proper responses to all situations.</b></p> <p><b>Note 1:</b> Employee and visitor safety is the primary criteria for evacuation of agency facilities. All employees must evacuate to and assemble at the pre-determined outside location where a head count by the person in charge will be conducted and employee life/safety condition will be assessed. This head count should include all visitors to the state agency at the time of impact.</p>	

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
2.	<p>Determine employee status and availability:</p> <p>Identify any injuries to employees and visitors on site. Seek immediate medical assistance if necessary.</p> <p>Is temporary emergency shelter needed due to weather or other conditions?</p>	
3.	<p>Communicate relocation decision to employees and visitors.</p> <p><b>If yes, move to emergency shelter identified below:</b></p>	
	<b>Primary Emergency Shelter Address:</b>	
	State Fair Park, Grand and Wasatch Buildings will be used for immediate business resumption operations. Address is 155 N. 1000 W. SLC Utah	
	<b>Those that are injured will be taken to the LDS Hospital. 325 East 8<sup>th</sup> Avenue, SLC Utah 801 408-1100</b>	
	<b>Secondary Emergency Shelter Address:</b>	
	Local churches/school facilities that are undamaged.	
	<b>Injured personnel will be taken to the University of Utah hospitals. Located at 50 North Medical Drive, SLC Utah 801 581-2121</b>	
4.	Determine overall effect of the immediate impact to transportation and city conditions that may affect employees and their families. Inform employees of overall conditions.	
5.	Determine "immediate" employee work strategy.	
6.	Enter status of evacuated employees and visitors on Agency Evacuation Status Log. Identify problems/availability on form.	
7.	<p>Inform employees of their immediate work assignments and emergency needs.</p> <p>Consider releasing employees to go home if service interruption is severe. Log employee destination and time departed on Agency Evacuation Status Log, when employees leave work or shelter area for other locations.</p>	

# Continuity of Operation Actions (Phases 1-7)

## Phase II Event Assessment

**Should be completed within 4 hours from impact.**

**Purpose:** The actions in this phase are designed to assist in accurately determining the damage caused by the impact event and help in estimating the duration of the expected “outage”.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	Inventory and secure critical documents, files and other items that may have been removed by employees during evacuation of building.	
2.	Distribute and maintain agency Continuity of Operations Recovery Logs found for all personnel involved in the recovery. Use this log as a template for logging recovery information.  <b>Require log use by all employees during the recovery.</b>	
3.	When re-entry to facilities is allowed, identify systems, data, and other items that are reusable and can be relocated. Use Form Undamaged Recoverable Items, to identify those recoverable items and their locations.	
4.	Assess condition of agency facilities, workstations, data communications and other computer facilities. Gather information observed from all team members about critical systems, communications, facilities and other mission critical components or processes. Use, General Situation Assessment form as a guide.	
5.	Determine extent of impact event as it relates to the mainframe host and/or PC/LAN computer systems: processing status, completed or incomplete application processing, communications networks, and other facilities using form, General Situation Assessment form.	
6.	If technology is impacted, get technology personnel to estimate when agency facilities and/or processing systems will be accessible. How many <b>HOURS:</b> _____ <b>DAYS:</b> _____	
7.	Fill out , Area/Function/Section Specific Situation Assessment form, including estimated outage of critical and essential functions or processes.	
8.	Does the estimated processing or function outage exceed the pre-determined “Acceptable Outage Period” for State Agency outage?	

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION			ASSIGNED/COMPLETED/NOTES
	<u>Yes</u>	<p>Go to Phase 3.</p> <p><b>ACTIVATE STATE AGENCY CONTINUITY OF OPERATIONS PLAN.</b></p>	
	<u>No</u>	<p><b>STOP!</b>  <b>DO NOT</b> declare an emergency situation. Coordinate team activity to restart Section functions.</p> <p>Await restoration of facilities and/or technology resources.</p>	

# Continuity of Operation Actions (Phases 1-7)

## Phase III Notification/Plan Implementation Process

**Should be completed within 4-12 hours and ongoing from start of event.**

**Purpose:** This phase includes the action steps and other information needed by agency management to make a proper plan implementation declaration; identifies the declaration authority; includes agency guidelines and responsibilities; and identifies key personnel or other functions that must be notified by agency management on an ongoing basis.

### A. MANAGEMENT NOTIFICATIONS AND COMMAND IDENTIFICATION

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	Authorized DTS COOP Manager implements the Continuity of Operations Plan according to pre-defined section specific criteria.  See following pages for assistance in understanding the criteria used in determining the various types of plan implementation declaration.	

### B: GUIDELINES FOR IMPLEMENTING EMERGENCY POLICIES AND S.O.P.'s

When the situation assessment is complete, the manager in charge is faced with the decision of whether the plan should be implemented. In the event of a severe service interruption the decision will be easy, but in many situations, such as a power outage of prolonged but unknown duration, it is not clear at all. The following questions, in conjunction with the situation assessment forms, will help in determining whether the Continuity of Operations Plan should be activated.

QUESTION OR CONDITION	ANSWER
What is the projected time to restore agency functions without contingency activities?	
Does this time exceed the pre-determined maximum acceptable "outage" <b>(greater than 48 hours)?</b>	
Will services to agency customers or the public be unacceptably impacted?	
Who is managing outside restoration efforts and what resources are available to fix the problem?	
Will implementing the Continuity of Operations Plan reduce financial loss implications?	
Do the long-term effects (financial, loss of agency functional services, loss of public or customer confidence, etc.) justify the declaration?	



QUESTION OR CONDITION	ANSWER
What is the overall impact on agency or customer service?	
What will the media to say in their reports?	
Are anticipated media reports acceptable to agency and state officials?	

**C: DECLARATION TYPE**

Based on the answers to the above and other questions that may be pertinent in the specific situation, the agency COOP manager will need to select one of the following options:

CONDITIONS	TYPE OF DECLARATION DECISION
Although an incident has occurred, the circumstances do not require special contingency activities. Recovery can best be handled within the normal management structure.	<b>No Declaration.</b>  Agency will await restoration of facilities and services.
The situation is severe and requires implementation of the contingency plan, but mainframe or host computer systems are operational.	<b>Declaration Without Computer System Recovery</b>  Agency will relocate to its alternate site and restore its data processing capabilities and functions there.
The situation is severe and mainframe or host computer services have been disrupted in addition to agency processing and functional capability. This declaration will trigger the DTS Continuity of Operations Plan.	<b>Declaration With Computer System Recovery</b>  The agency will relocate to its alternate site(s) and await restoration of essential system communications and mainframe or host system processing capability at either the Richfield or Salt Lake data center depending on the area of damage.

**D: CONTINUITY OF OPERATIONS PLAN IMPLEMENTATION GUIDELINES**

**These guidelines or procedures are DTS section specific.** They are determined by each individual section and approved in advance by the Division Director and the next level of senior state management, either the DTS CIO or COO. The guidelines to be implemented are contained in the table below.

<b>MANAGEMENT AUTHORIZATION LEVEL FOR IMPLEMENTATION DECLARATION: (IN ORDER)</b>	<b>CONDITIONS FOR AUTHORIZING</b>	<b>AUTHORIZING MANAGEMENT SIGNATURE</b>
DTS Chief Information Officer	Mark VanOrden	
DTS Chief Operating Officer	Kenneth Peterson sucession order for unavailability	
DTS Project Management Director	Doug Chandler sucession order for unavailability	
DTS Application Development Director	Darcie Trimble sucession order for unavailability	
Data Hosting Services Director	Richard Madsen sucession order for unavailability	
Communication Services Director	Scott Peterson sucession order for unavailability	
Desktop / Help Desk Services Director	Debbie Naegle sucession order for unavailability	
Data Center Operations / COOP Manager	Russell Smith sucession order for unavailability	
Assistant Agency COOP Manager	Norm Johnson sucession order for unavailability	
DTS Public Information Officer	Stephanie Weiss sucession order for unavailability	

## **E: IMPLEMENTING EMERGENCY POLICIES AND S.O.P.'S**

**These policies are section specific.** They are determined by each section manager and approved in advance by the DTS Division Director and the DTS Department Director. The policies to be implemented are contained in the table below.

<b>SPECIFIC SECTION POLICY TO BE IMPLEMENTED</b>	<b>CONDITIONS FOR IMPLEMENTING</b>	<b>AUTHORIZING MANAGEMENT LEVEL</b>
Network Business Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Data Hosting Services Director
Network Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	DTS Communications Director
Mainframe Business Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Data Hosting Services Director
Mainframe Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	Data Hosting Services Director
Database Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	DTS Application Development Director
Database Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	DTS Application Development Director
Storage Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Data Hosting Services Director
Storage Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	Data Hosting Services Director
WAN Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Communication Services Director
WAN Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	Communication Services Director
Voice Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Communication Services Director
Voice Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	Communication Services Director
Help Desk Business Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Desktop / Help Desk Services Manager
Help Desk Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	Desktop / Help Desk Services Manager

<b>SPECIFIC SECTION POLICY TO BE IMPLEMENTED</b>	<b>CONDITIONS FOR IMPLEMENTING</b>	<b>AUTHORIZING MANAGEMENT LEVEL</b>
Wireless Services Business Resumption	Any power outage, virus, or other natural or man made disaster that can be resolved in 48 hours or less.	Communication Services Director
Wireless Services Disaster Recovery	Disaster resulting in relocation of computing services at our alternate facility in Richfield.	Communication Services Director

## **F: EMERGENCY POWERS**

The DTS Director(s) will act in the best interest of the state constituents during a service interruption. To facilitate these essential actions, state senior management approves the following emergency changes to normal policies while the Continuity of Operations plan is active. These emergency powers are rescinded upon return to normal operation

<b>POLICY</b>	<b>VARIATION APPROVAL</b>
<b>Purchase Authority</b>	The restriction over which purchases must be made by the Division of Purchasing is temporarily removed. The Division Director can authorize essential purchases to preserve the safety of staff and to protect the threatened assets of the agency. However, judgment must be exercised to ensure that the long-term effects will not outweigh the short-term benefits.
<b>Cash, personal credit or check capability</b>	DTS may set up emergency purchasing capability by giving approval to use State issued credit cards. The state will guarantee and indemnify employees for all such emergency purchases.
<b>Personnel Issues</b>	DTS working in conjunction with DHRM will be authorized to take any personnel actions deemed necessary to sustain the agency's operation. This includes hiring of staff, disciplinary action, or termination. All actions must be taken in compliance with applicable employment law.
<b>Contractual Authority</b>	The DTS Executive Director/CIO will temporarily be empowered to act on behalf of the agency in executing emergency contracts when the Facilities or Division of Purchasing capabilities are exceeded. In the event that the DTS Executive Director/CIO is not available to act in this capacity, the next in normal agency management succession is temporarily authorized to execute essential contracts. This temporary approval is conditional upon the approval of the Facilities or Division of Purchasing recognizing they cannot perform within the required emergency time frames. When emergency conditions justify, the normal bid process is not required and the most important criteria is "performance". However, to ensure that the costs are not excessive, the manager must exercise caution.

## **G: DECISION MAKING PRIORITIES**

The following decision making criteria may be used as a guide for DTS Management to provide direction in a potentially high stress environment where specific direction from senior state officials may not be available. The State acknowledges the fact that each situation is unique and impossible to predict. These criteria are general principles that can be applied across the broad spectrum of all service interruptions.

<b>CATEGORY</b>	<b>CRITERIA AND PRIORITY</b>
	The first priority is the safety of the staff and volunteers. This

CATEGORY	CRITERIA AND PRIORITY
<b>Human Safety</b>	concern also extends to visitors or others who may be affected by a service interruption at the state agency facility. The Agency Management Team is directed to act before, during, and after a service interruption to protect and preserve the life and safety of these individuals.
<b>Long Term Recovery</b>	Next in priority is the long-term survival of the agency. Decisions made concerning immediate recovery, reconstruction, or restoration of service must always be made in the context of the agency's long-term recovery. Immediate results must not be achieved at the expense of the long-term capability of the agency.
<b>Meeting Customer and Dependent Agency Needs</b>	Third in priority is to meet the needs of those customers and those agencies that rely on the agency services. Once human safety concerns and the agency's long term survival is ensured the agency should do whatever it can to meet the needs of those relying on its services. For an internal service interruption such as a fire, this may mean applying all available resources to quickly restore vital services. In a larger regional service interruption such as an earthquake or tornado, this may mean providing assistance in the form of special government services.
<b>Prudence</b>	In all actions during a service interruption, the State Agency Manager, the Continuity of Operations Team, the staff, and volunteers must act with prudence. Every effort should be made to understand the long-term ramifications of decisions. Individual needs must be balanced with the needs of the organization and its members.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	Ensure formal state agency management continuity exists.  CIO, COO, or the DTS Director(s) establishes formal, temporary management replacements for those Section agency managers who are unavailable.	
2.	Provide emergency status phone number to employees to call in for information.	
3.	Establish employee contact trees by neighborhood or city location.  Log employee contacts and status. Have employees travel to other employees' homes if normal communication paths are unavailable.	
4.	Notify employees of current status according to Employee Notification List in  Follow-up with other agencies.	

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
5.	Establish ongoing "critical customer and agency" contacts using lists.	
	Notify customers and others relying on agency functions of current status according to Critical Customer and Agency Notification List.	
	Maintain ongoing communication regarding restoring functional capabilities and timeframes.	
6.	Ensure that State and DTS PIO is kept informed of ongoing status.	

# Continuity of Operation Actions (Phases 1-7)

## Phase IV Continuity of Operation Preparation

**Should usually be completed within 4-12 hours of impact.**

**Purpose:** This phase outlines the preparations the state agency will take in preparing for the actual recovery efforts, but before the actual recovery process begins. These steps are taken after a plan implementation declaration has been made.

Logistics support and resource requirements for implementation of this plan to carry out essential functions are identified in Appendices, including, but not limited to, staffing, technology, facilities, and office equipment and supplies. If external support or resources are required, such as in a catastrophic earthquake when multiple agencies are impacted, requests for assistance will be forwarded to the State Emergency Operations Center. In turn the EOC will direct the request to an appropriate state agency or to Emergency Support Function 7 (ESF 7), Resource Support.

The Department of Administrative Services and Department of Technology Services (DTS) are key support agencies for ESF 7. Administrative Services' Division of Facilities and Construction Management will assist with handling requests for the securing of alternate facilities. DTS provides support for information technology and communications.

Depending upon the situation, if the Department cannot adequately staff its essential functions it can request assistance from the Department of Human Resources. A request could also be handled by the Emergency Management Assistance Compact (EMAC) desk in the State Emergency Operations Center.

Logistics support and resource requirements include access to the State's financial management systems.

### **A: SELECT AND ACQUIRE AGENCY RECOVERY CONTROL LOCATIONS**

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	When moving to the Recovery Control Location, there should be provided a separate area in the Recovery Control Location where agency management meets to discuss ongoing conditions and make decisions. This location will be the Richfield data center conference room or the State Fair Park Wasatch building in Salt Lake depending on the extent of the disaster	
2.	Request the pre-designated Recovery Control Location space from State Facilities Coordinator. Management will confirm the use of pre-designated Recovery Control Locations. (There should be at least a primary and secondary location identified.)	

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
	Perform automatic Recovery Control Location setup procedures.	
	Set up the Recovery Control Location.	

## **B: ORGANIZE AND ACTIVATE SECTION RECOVERY TEAMS BY FUNCTION**

**PURPOSE:** The Section Functional Recovery Teams will be responsible for developing and implementing procedures that would allow the DTS Sections to begin recovery efforts following an interruption of critical agency functions. The DTS Section Manager will activate the Functional Recovery Teams.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	Each "Section Recovery Team Leader" will designate an Alternate Team Leader and assign additional staff as needed to assist in their specific recovery responsibilities.	
2.	Determine employee availability from employee notification and status list. Identify any employee personal problems restricting heavy continuity work schedules.	
3.	If needed, access the overall department personnel plan with employee skill levels identified.	
4.	Organize Critical Functional Recovery Teams using designated assignments.	
5.	If service interruption spans multiple agencies, Agency Functional Recovery Team Leaders periodically will coordinate their assignments and responsibilities with other Agency Team Leaders and provide ongoing status reports.	
6.	Within the agency, hold team meetings for agency management and ensure other Functional Recovery Team meetings are held as necessary.	
7.	Authorized individual notify off-site storage location and retrieve all necessary vital records according to pre-arranged list for critical functions. Arrange pickup and delivery details with off-site storage location.  NOTE: Ensure proper authorization levels for release of data files from off-site location are in place prior to service interruption.	
8.	Identify transportation needs to support Continuity Team activities.	

## **C: PREPARE AGENCY FOR RELOCATION**

**PURPOSE:** The following steps will be taken to temporarily relocate the DTS to a suitable site and prepare for the restoration of critical DTS functions. The first



items below outline general responsibilities, the next items document steps in completion.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
	The DTS Director(s) will be responsible for facilitating and coordinating the relocation of essential agency functions to the Recovery Control Location.	
	Agency Recovery Logs must be maintained and used to gather accurate data for ongoing reporting.	
1.	If the recovering agency is relocated to and preempts another agency's permanent space or shares space with another agency, ensure resident agency functions presently occupying the site are relocated to other facilities.	
2.	Order, acquire, deliver and install all essential office supplies identified.	
3.	Contact DTS to install all communications lines and workstations for critical work in the relocation site.	
4.	Move into emergency relocation center and install whiteboards, desks, etc. according to previously approved layout diagram.	
5.	Ensure voice and data communication channels are available to Utah State Agency Emergency Operation Center and coordinate with other agencies as necessary. Pass agency recovery phone numbers to these sites.	
6.	Test all circuits and workstations before starting production work. Use benchmarked functions with test data and strategy to verify correct operation. Repair or correct problems before going into live production status.	

## Agency Service Recovery Control Location Contacts

Name:	Bruce Whittington (DFCM Director Facilities) State Office Building, 5 <sup>th</sup> Floor Salt Lake City, Utah 84114	
Phone #:	801-538-3547	
Radio Channel:		Home Phone: 801 756-2546
Cell #:		
Location:	DFCM State Office Building, Home:Utah Valley	
Name:	Russell Smith (Salt Lake and Richfield Data Center Operations Manager) State Office Building, 6 <sup>th</sup> Floor Salt Lake City, Utah 84114	
Phone #:	801 538-3405	
Radio Channel:		Home Phone: 801 280-1113
Cell #:	801 514-3125	
Location:	DTS State Office Building Salt Lake Valley Home: South Jordan	
Name:	Daniel Gallegos (Salt Lake and Richfield Data Center Asst. Manager) State Office Building, 1st Floor Salt Lake City, Utah 84114	
Phone #:	801-538-3503	
Radio Channel:		Home Phone: 801 263-2720
Cell #:	801-815-3206	
Location:	DTS State Office Building Salt Lake Valley Home: West Valley	
Name:	James Calton (Richfield Data Center Supervisor) 350 S. 900 W. (Snow College/Richfield Campus) Richfield, Utah 84701	
Phone #:	801-538-1188	
Radio Channel:		Home Phone:
Cell #:		
Location:	DTS Data Center Richfield Home: Richfield	
Name:	Gerald Adams (Provo Regional Center) 150 East Center Street Provo Utah 84606	
Phone #:	801 794-6705	
Radio Channel:		Home Phone:
Cell #:	801 794-6705	
Location:	Provo Home: Provo	
Name:	Kelly Warren (Ogden Regional Center) 2540 Washington Blvd Ogden Utah 84114	
Phone #:	801 620-0105	
Radio Channel:		Home Phone: 801 627-1081
Cell #:	801 620-0105	
Location:	Ogden Home Ogden	

Name:	Kelly West (State Fair Park) 155 North 1000 West Salt Lake City, Utah 84116	
Phone #:	801-538-8441 or 801 538-8400	
Radio Channel:		
Cell #:		
Location:	State Fair Park	

# Continuity of Operation Actions (Phases 1-7)

## Phase V COOP Activities

Should be complete within 12 hours to 3 days.

**PURPOSE:** In this phase, the actual recovery activities are performed to recover critical and essential functions leading to a successful recovery and return to normal.

### A: INFORMATION RESOURCE RECOVERY PROCEDURES

This section deals with the restoration of information technology services affected as a prerequisite for critical agency processing. It assumes the information technology group has the resources to provide for agency processing of critical applications within predefined periods of “acceptable outage”.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	State Department of Technology Services act in support of recovering agency. They must complete their respective recovery actions/plans for an affected agency in the pre-defined time frames agreed to between the agency and DTS.	
2.	Agency management develops action plan and work schedule for critical functions and communicates this information to the State Emergency Operations Center. (ESF-2)	
3.	Strategic Team Members are notified and mobilized to start and support critical functions. Ensure critical employees personal needs are considered to ensure his/her availability during the recovery.	
4.	Notify all other employees to report to work at the Recovery Control Location when their services are needed, but not until then.	
5.	Managers and Agency Continuity Team Members move to Recovery Control Location to resume CRITICAL DTS Section functions. <b>GO TO Critical Function Recovery Procedures.</b>	
6.	Regular status reports should be made to State Emergency Operations Center on the schedule dictated by them, and as significant events affecting processing occurs.	

## **B: FACILITIES RECOVERY PROCEDURES**

**This section deals with the restoration of the state agency building facilities required to perform pre-defined Critical (Priority I) and Essential (Priority II) functions within predefined periods of “acceptable outage”.**

<b>CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION</b>		<b>ASSIGNED/COMPLETED/NOTES</b>
<b>1.</b>	Section management develops action plan and work schedule for facilities recovery and communicates this information to the State Emergency Operations Center.	
<b>2.</b>	Strategic Team Members are notified and mobilized to start and support facilities recovery. Ensure critical employees personal needs are considered to ensure his/her availability during the recovery.	
<b>3.</b>	Notify all other employees to report to work at the Recovery Control Location when their services are needed, but not until then. (Too many people in the recovery area usually cause confusion that can impede the processing of critical functions.)	
<b>4.</b>	Other Continuity Activities as agency deems necessary including security and access control issues, safety and inhabitability concerns, and repairing or rebuilding.	
<b>5.</b>	Section Management identifies means of transportation to convey strategic recovery teams to the Richfield alternate data center.	
<b>6.</b>	Regular status reports should be made to senior officials as determined by the agency.	

## C: CRITICAL FUNCTION RECOVERY PROCEDURES

This section documents DTS's steps that must take place in restoring the agency's actual processing of its functions within the pre-defined periods of "Acceptable Outage" after all infrastructure and resources are prepared and ready. Steps for Tier I (Critical), Tier II (Essential), and Tier III (Non-Essential) are documented.

***Note: Initial workloads will be substantially heavier than normal until all backlogged work is completed. Resources and personnel will be under severe stress and additional problems should be expected due to processing out of normal sequence.***

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	Strategic Team Members are notified and mobilized to start and support critical functions. Ensure critical employees personal needs are considered to ensure his/her availability during the recovery.	
2.	Notify all other employees to report to work at the Recovery Control Location when their services are needed, but not until then. (Too many people in the recovery area usually cause confusion that can impede the processing of critical functions.)	
3.	Managers and Agency Continuity Team Members move to Recovery Control Location to resume CRITICAL Agency functions. <b>GO TO Critical Function Recovery Procedures.</b>	
4.	Agency begins processing <b>CRITICAL (Priority I)</b> functions.	
5.	Employees required for these less critical applications should now be assigned work schedules. It is important that all employees feel needed and are used in the recovery effort.	
6.	Other Continuity Activities as agency deems necessary including security and access control issues and other specifics as found in Appendix G-3, Key Agency Function Priority List.	
7.	Regular status reports should be made to State Emergency Operations Center on the schedule dictated by them, and as significant events affecting critical functions occurs.	
8.	Additional steps as deemed necessary by agency.	

# Continuity of Operation Actions (Phases 1-7)

## Phase VI PIO Activities

**Should be continuous throughout process as deemed necessary by Continuity of Operations Team Leader.**

**PURPOSE:** This phase contains basic steps to ensure the dissemination of information to the media, other agencies and the public throughout the course of the recovery process. Information and specific guidelines that will help you manage the press and public information during a disaster can be found in the Appendix as indicated.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	Prior to any service interruption, gather Appendix A DTS Employee List by Last Name. Maintain copies of plan for management to use for notification purposes and medical treatment if necessary.	
2.	Prior to any service interruption, PIO SOP P6-2 Form , Key Media Contacts, should be established and documented.	
3.	Prior to any service interruption, each agency should create PIO SOP P6-3 Form, Emergency Telephone List, including all numbers necessary for agency. The listing on PIO SOP P6-3 Form is meant as a guide and is not necessarily all-inclusive.	
4.	During the course of the service interruption, PIO SOP Form P6-6, Media Inquiry Log, should be kept up to date by the assigned Agency Continuity of Operations Team Member.	
5.	Agency PIO should communicate agency status and information to media and others on an ongoing basis, either through press release or other form of communication as described in PIO SOP Form P6-5, Public Information Resource Material.	
6.	Follow public information policies as provided in the State Emergency Operations Plan if the service interruption is large scale or widespread in nature.	
7.	Other Continuity Activities as agency deems necessary regarding Public Information.	

## Phase VII Final Report Activity

**PURPOSE:** After the DTS emergency situation is completed and return to normal conditions exist, a comprehensive final or “Situation Report” must be developed for State elected officials and senior management by the Agency Executive Manager.

CONTINUITY OF OPERATIONS ACTIVITY DESCRIPTION		ASSIGNED/COMPLETED/NOTES
1.	After the emergency conditions are satisfactorily managed and conditions return to normal, the service interruption declaration should be rescinded with all state agencies.	
2.	Each Section Manager prepares a final complete report of service interruption, recovery events and overall effects.	
	a. Document the cause of the service interruption and the final effects on agency operations.	
	b. Collect final recovery logs from all employees. Use information about major events in recovery from recovery logs, etc. in preparing the final report.	
	c. Document effects to daily operations.	
	d. Identify preventive measures initiated against future interruptions (if any are needed).	
	e. Identify and document costs.	
	f. Develop report for use by the DTS CIO and for outside use if directed.	
3.	Sign, copy and deliver final report to appropriate senior officials.	



# DTS ORDERS OF SUCCESSION

## WORKSHEET 4A ORDERS OF SUCCESSION

Organization/Division/Unit: DTS

Team: COOP Team

Essential Function:

Process:

Primary COOP Positions and Names (List all positions identified in Worksheet 3B-3)	Successor 1 (Name)	Successor 2 (Name)	Successor 3 (Name)	Successor 4 (Name)
Mark VanOrden, CIO DTS Executive Director 801 538-3298 m 801 971-9500	Kenneth Petersen	Dan Frei		
Kenneth Petersen, Chief Operating Officer 801 538-3298m 801 550-2826	Doug Chandler	Darcie Trimble	Richard Madsen	Scott Peterson
Boyd Webb, DTS Security Officer 801 538-3470	Jerri Averde DP Security Specialist 801 538-3751	Bobette Phillips TSS 801 297-2729		
Daniel Frei, DTS Finance Director 801 538-3459 m 801 556-7103	Leno Franco Finance Manager 801 538-9088	Ryan Bradshaw Finance Manager 801 538-3034		
Dave Fletcher, Chief Technology Officer 801 538-3476 m 801 514-2176	Ken Petersen	Bob Woolley IT Analyst 801 538-1072		
Stephanie Weiss, DTS Public Information Officer 801 538-3284 m 801 599-7870	Melissa Brown	Daniel Frei		
Melissa Brown, CIO Executive Assistant 801 538-3298 m 801557-9606	Stephanie Weiss	Heid Acree DTS SSC 538-3462	Carlie Torres Admin Secretary 801 297-2700	Ingrid Norton Admin Secretary 801 965-4151
Larene Wyss, HR Director for DTS 801 538-3361 m 801 503-5618	Wendy Peterson HR Director 801 538-3075	Jean Mills-Barber Deputy Director HR 801 538-3076	Jeff Herring Executive Director HR 801 538-3403	
Infrastructure & Solutions Delivery Darcie Trimble, DET Solutions Delivery 801 538-3571 m 801 558-2276	Judd Houser IT Manager 801 538-9764	Mark Mitchell IT Manager 801 538-9581	Geoff Arnold IT Manager 801 538-3612	

Infrastructure & Solutions Delivery Kenneth Petersen, Chief Operating Officer 801 538-3298m 801 550-2826	Richard Madsen IT Manager 801 538-3679	Douglas Chandler IT Manager 801 538-3585	Debbie Naegle IT Manager 801 538-1292	
Infrastructure & Solutions Delivery Kenneth Petersen, Chief Operating Officer 801 538-3298m 801 550-2826	Greg Mead IT Director 801 538-7244	Kevin Van Ausdal IT Director 801 297-2730	Jim Matsumura IT Director 801 514-3134	
IT Director, DABC Darcie Trimble, 801 538-3571 m 801 558-2276	Chris Christensen IT Analyst 801 977-6889	Kevin Perry TSS 801 668-5849		
IT Director: GOED,Travel, USTAR,DCC, DFI Scott Wolford, 801 538-8667 m 801 707-4942	Bruce Stewart IT Director 801 538-8856			
IT Director AGRC Bert Granberg, 801 538-3163 m 801 558-3563	Matt Peters IT Analyst 801 538-3168	Sean Fernandez IT Analyst 801 209-9359		
IT Director, Commerce, Labor, PSC Rick Leimbach, 801 530-6688 m 801 550-3955	Karen Duncan IT Analyst 801 530-6081	Michele Madris-Orrell IT Analyst 801 530-6075		
IT Director, National Guard Col Gregory Cluff ,Utah 801 523-4110 m 801 716-9016	Scott Bland TSS II 801 432-4116			
IT Director, Corrections/BOP Bill Boudreau, 801 545-5508 m 801 550-3955	Glenn Stohel IT Manager 801 545-5533	Kim Thompson IT Manager 801 545-5643		
IT Director, Public Safety Phil Bates, m 801 209-9343	Mike Sadler IT Analyst 801 965-4822	Kerry Huntington IT Analyst 801 707-6897	Sam Clark IT Analyst 801 243-1662	
IT Director, UDOT Dave Burton, 801 965-4220 m 801 712-8643	Rudy Zamora IT Analyst 801 887-3753	Randall Stohel IT Analyst 801 965-4908		
IT Director, DWS Mark Shultz IT Manager 801 404-6869	Mary Fornelius IT Manager 801 526-9302	Bryan Kasteler IT Manager 801 243-9234		
IT Director, DOH Greg Mead 801 538-7244 m 801 258-1578	Jim Howard Campus Manager 801 626-3558	Chris Pratt IT Manager 801 538-9945		
IT Director, TAX, Human Services Kevin Van Ausdal, 801 297-2730 m 801 231-9009	Steve Coons (TAX) IT Manager 801 297-3875	Gene Riggs (DHS) IT Analyst 801 536-0333		

IT Director Brent Cleverly,DHRM/DAS/UID/ Gov Office 801 538-3132 m 801 259-6808	Darcie Trimble	Mark Mitchell IT Manager 801 538-9581	Judd Houser IT Analyst 801 538-9764	Carl Meeks IT Manager 801 538-3858
IT Director, DEQ/DNR Jim Matsumura 801 514-3134	Michael Casey IT Manager 801 536-4455			
Infrastructure Management Scott Peterson Network and Communications 801 538-3585	Gordy Coles IT Manager 801 965-4538	Ed Partridge Network Manager 801 538-3690	Brenda Hulphers Telecom Manager 801 538-3642	
Infrastructure Management Richard Madsen, Hosting Services 801 538-3679 m 801 641-2700	Russell Smith IT Manager m 801 514- 3125	Darrus Mcbride IT Manager 801 538-3539	Laron Taggart IT Manager 801 538-3681	
Infrastructure Management Debbie Naegle,Desktop & Helpdesk 801 538-1292 m 801 708-1051	Corona Ngatuvai IT Manager 801 708-1053	Greg Casey IT Manager 801 708-1052		

# DELEGATION OF AUTHORITY

## Worksheet 4B DELEGATION OF AUTHORITY

*Delegation of Authority is the giving of powers, in part or full, to others. Authorities may include the allocation of resources or the directing of personnel.*

**Organization/Division/Unit: DTS/CIO**

**Team: Executive Management**

**Essential Function: Executive management for DTS**

**Process:**

COOP Position	Duties While Acting With Authority	Limitations
Primary: Mark VanOrden,CIO, Executive Director	Ability to make all Executive decisions, including directing of personnel and allocation of resources.	None
Successor: Kenneth Petersen, Chief Operating Officer	Ability to make all Executive decisions, including directing of personnel and allocation of resources.	None
Successor: Dan Frei	Ability to make all Executive decisions, including directing of personnel and allocation of resources.	None

**Organization/Division/Unit: DTS Infrastructure and Solutions Delivery**

**Team: Executive Management**

**Essential Function:**

**Process**

COOP Position	Duties While Acting With Authority	Limitations
Primary: Kenneth Petersen, DTS Chief Operating Officer	Ability to make all Operational executive decisions for the Infrastructure and Solutions Delivery groups, including the allocation of resources.	None
Successor: Richard Madsen, DTS Hosting Director	Ability to make all Operational executive decisions for the Infrastructure and Solutions Delivery groups, including the allocation of resources.	None
Successor: Darcie Trimble, DTS Solutions Delivery Director	Ability to make all Operational executive decisions for the Infrastructure and Solutions Delivery groups, including the allocation of resources.	None

**Organization/Division/Unit: DTS Enterprise Security**

**Team: Executive Management**

**Essential Function:**

**Process**

<b>COOP Position</b>	<b>Duties While Acting With Authority</b>	<b>Limitations</b>
Primary: Boyd Webb, DTS Security Officer	Ability to make all Security decisions, including the allocation of resources and direction of personnel.	None
Successor: Jerri Averde, DP Security Specialist	Ability to make all Security decisions, including the allocation of resources and direction of personnel.	None
Successor: Bobette Phillips, TSS	Ability to make all Security decisions, including the allocation of resources and direction of personnel.	None

**Organization/Division/Unit: DTS Finance and Administration**

**Team: Executive Management**

**Essential Function:**

**Process**

<b>COOP Position</b>	<b>Duties While Acting With Authority</b>	<b>Limitations</b>
Primary: Daniel Frei, DTS Finance Director	Ability to make all Financial and Budgetary decisions, including the allocation of resources and direction of personnel.	None
Successor: Leno Franco, DTS Finance Manager	Ability to make all Financial and Budgetary decisions, including the allocation of resources and direction of personnel.	None
Successor: Ryan Bradshaw, DTS Finance Manager	Ability to make all Financial and Budgetary decisions, including the allocation of resources and direction of personnel.	None

**Organization/Division/Unit: Chief Technology Officer**

**Team: Executive Management**

**Essential Function: Technology**

**Process**

<b>COOP Position</b>	<b>Duties While Acting With Authority</b>	<b>Limitations</b>
Primary:	Ability to make all eGovernment and	None

Dave Fletcher, Chief Technology Officer	Architecture decisions.	
Successor: Ken Petersen	Ability to make all eGovernment and Architecture decisions.	None
Successor: Robert Woolley, IT Analyst	Ability to make all eGovernment and Architecture decisions.	None

**Organization/Division/Unit: Public Information Office**

**Team: Executive Management**

**Essential Function:**

**Process**

COOP Position	Duties While Acting With Authority	Limitations
Primary: Stephanie Weiss, DTS Public Information Officer	Ability to provide all department communications.	None
Successor: Melissa Brown, CIO Executive Assistant	Ability to provide all department communications.	None
Successor: Daniel Frei, DTS Finance Director	Ability to provide all department communications.	None

**Organization/Division/Unit: Executive Assistant**

**Team: Executive Management**

**Essential Function: CIO Office**

**Process**

COOP Position	Duties While Acting With Authority	Limitations
Primary: Melissa Brown, CIO Executive Assistant	Ability to assist with all department-wide administrative needs.	None
Successor: Stephanie Weiss, Public Information Officer	Ability to assist with all department-wide administrative needs.	None
Successor: Heidi Rollins, SSC	Ability to assist with all department-wide administrative needs.	None

**Essential Function: DTS HR****Process**

<b>COOP Position</b>	<b>Duties While Acting With Authority</b>	<b>Limitations</b>
Primary: Larene Wyss, HR Director for DTS	Ability to provide all HR support.	None
Successor: Wendy Peterson, HR Director	Ability to provide all HR support.	None
Successor: Jean Mills-Barber, HR Deputy Director	Ability to provide all HR support.	None

# ALTERNATE FACILITIES

## WORKSHEET 5 ALTERNATE FACILITIES

Organization/Division/Unit: Department of Technology Services

Team: COOP Team

Alternate Facility	Alternate Facility. Cold, Warm or Hot Site	Number of Employees Required to Set Up	MOU or Contract in Place? (Y/N)	Special Notes	Capacity
<b>Richfield Data Center</b> 350 South 900 West Richfield UT 84701	Alternate data center site with redundant mainframe and storage.  Full description is listed below.	2 - 4	Yes	Facility is maned by DTS 7x24 and also houses the Public Safety dispatch center for the county. Contact information is 801 538-1188 or local # 435 896-2460	25
<b>Provo Regional Center</b> 150 East Center Street Provo UT 84606	Alternate State office building with on hand technical support staff. DTS office is in the basement and was previously used as a data center. Communication equipment and Internet and Wireless connectivity is available.	2 - 4	Yes	Facility is maned by DTS during business hours M-F 7am to 5 pm and also houses other State Government agencies. Primary DTS Contact is Gerald Adams 801 794-6705 or DFCM @ 801 374-7099	10 - 12
<b>Ogden Regional Center</b> 2540 Washington Blvd Ogden UT 84114	Alternate State office building with on hand technical support staff. DTS office is in the basement and was previously used as a data center. Communication equipment and Internet and Wireless connectivity is available.	2 - 4	Yes	Facility is maned by DTS during business hours M-F 7am to 5 pm and also houses other State Government agencies. Primary DTS Contact is Kelly Warren 801 620-0105 or DFCM @ 801 374-7099	10 - 12



<b>State Fairpark, Grand Building</b> 155 North 1000 West Salt Lake City UT 84110	Alternate site to hold DTS staff in the event the State Office Building is not usable. Facility has 2 floors of about 13,500 sq feet of open space. Tables and chairs are available on site. Communication ability is minimum but DTS would install wireless devices upon setup.. Communication equipment and Internet and Wireless connectivity is available.	10 - 12	Yes	Facility is managed by Utah State Fairpark facilities group. Contact information is Kelly West 801 538-8441 or 801 538-8400  <a href="http://www.utahstatefairpark.com">www.utahstatefairpark.com</a>	200-250
<b>State Fairpark, Wasatch Building</b> 155 North 1000 West Salt Lake City UT 84110	Alternate State office building to hold DTS staff in the event SOB is unavailable. DTS office was previously used as a wiring warehouse. Communication equipment and Internet and Wireless connectivity is available.	2 - 4	Yes	Facility is managed by Utah State Fairpark facilities group. Contact information is Kelly West 801 538-8441 or 801 538-8400  <a href="http://www.utahstatefairpark.com">www.utahstatefairpark.com</a>	10 - 12
<b>Employee Tele-working</b> from home address	Most DTS employees have accessibility through personal or agency issued equipment to work from home. VPN and security protocols are in place.	1	Yes	Employees would work out of their home and utilize issued cell phones or personal ones.	1

**Salt Lake Data Center**  
**Located at State Capitol Complex**  
**Salt Lake City, Utah**

The building was built in 1987 on the Capitol Campus just north of the State Office Building. DTS has been actively upgrading the facilities to provide the State of Utah with Tier 3 or better Data Centers as we have embarked upon our server consolidation efforts.

The Salt Lake Data Center is a 21,794 sq foot single floor building with 10,985 sq. feet of machine room space. DTS is currently housing 682 physical servers, with over 1900 when counting virtual servers. We are at approximately 45% of floor and power capacity. We also house 755 TB of SAN storage and over 1.5 PB of storage (petabytes has 15 zeros) utilized by all Utah Executive branch agency applications such as Public Safety, Tax Commission, Health and Human Services, Unemployment Insurance, Alcohol Beverage Control, state email systems and over 964 online services and 12 million pages of content in the Utah Web domains offering services to the citizens of Utah.

We are able to achieve Tier 3+ status based upon solid infrastructure designs and good people working under disciplined approaches.

We have dual IP connections coming into the center from UEN and a public provider. We have triple redundant power with Rocky Mountain Power, Capitol Campus power generators and DTS has two 750kw diesel powered units of our own that are tested monthly.

We have over 20,000 gallons of diesel fuel that will last over 4 weeks in continuous operations mode.

We also have dual redundant (4 UPS, 2 300kVA, 2 225kVA) units and 2 Battery units that are rated at between 30-60 minutes to cover us during failover to generator power.

In FY12 we installed a redundant cooling system based on evaporative cooling tower and forced air to augment our current computer room air conditioning (CRAC) units. This will allow us to meet the requirements of the Tier 4 Data Centers for alternative cooling.

## Richfield Data Center

### Located on Snow College Campus/Richfield

### Richfield, Utah

**Building:** The building in was built in 1996 on the then future site of Snow College campus/Richfield

The Richfield data center provides hosting services many State Agencies, as well as for 15 quasi State Agencies, and we will soon be adding Salt Lake County as a new customer. The Richfield Data Center is a 11,977 sq foot single floor building with 6, 286 sq. feet of machine room space. DTS is currently housing 63 physical servers, 35 virtual servers as well as many storage and network devices. The floor space in the machine room is at approximately 60% capacity, and the UPS power we are at approximately 65% capacity. DTS has been actively upgrading both facilities to provide the State of Utah with Tier 3 or better Data Centers as we have embarked upon our consolidation efforts. We are able to achieve Tier 3+ status based upon solid infrastructure designs and good people working under disciplined approaches.

- **Storage:** DTS is currently using IBM Tivoli Storage Manager 6.x to backup/archive server data. TSM is configured in such a way as to store data on disk and physical tape. The data in these environments is replicated between like arrays in the Salt Lake and Richfield datacenters. Some of the data is de-duplicated, meaning multiple copies of a file may exist on a server however only a single copy is stored which significantly increases the efficiency of disk usage, improves backup/archive times and increases replication speed rates. The Main Frame and Open systems share a SUN SLT8500 tape library in both Salt Lake and Richfield. This tape environment is primarily used for long-term archives and backup of test/development servers. The replicated data in Richfield provides an off-site copy of all files that are backed up or archived in the TSM environment. Networking and the Richfield Data Center
- **Networking:** The Richfield Data Center is a key network hub for the State of Utah network. It is second in importance to the network hub at the State Office Building(StOB). The Richfield site provides an alternate geographically dispersed connection to the Internet. This is essential in maintaining a connection to the world if there were a catastrophic event affecting Salt Lake area.

The Richfield data center has a primary connection to the Salt Lake data center provided by CenturyLink(Qwest) on their Geo-Max service. This service was acquired in partnership with the Utah Education Network (UEN) which made the service much more affordable. Currently this connection is providing a 1Gigabit Ethernet connection between the data centers. Within the next month, a second Gigabit link will be added to provide addition capacity and redundancy using this same service and at no additional cost to the State. The secondary connection between the data centers is provided by State microwave system. This system is setup as a four node ring providing 155Megabits of

bandwidth in each direction. Each of the four nodes StOB, Calvin Rampton, Lake Mountain and Richfield have full access this ring which provides redundant paths to key resources if normal carrier services are down.

The network design and equipment for server hosting in the Richfield data Center is very similar to the Salt Lake data center but on a much smaller scale at this point. A highly redundant core switch and dual connected access switches in each rack row. This design helps to reduce the possibility of failure from a signal component. The hosting core switch is equipped with modules that allow server load balancing and firewalling.

- **Infrastructure:** We have redundant power with Rocky Mountain Power and our backup 900 kW diesel generator that is tested monthly. We have over 11,000 gallons of diesel fuel that will last 4 weeks in continuous operations mode. We also have one backup 300kVA UPS with 2 battery strings that are rated at 15- 20 minutes. The Richfield Center was designed to withstand an earthquake of 7.1 magnitude. All raised floor is seismic braced. Rows of cabinets are bolted together for added stability. The Richfield operations center is occupied and operations 24 hours per day 365 days per year. Security access is controlled by card key access and monitored by NETBOTZ cameras throughout the center. The HVAC systems provide redundant temperature and humidity control. Air-flow is managed by forced air through perforated floor tiles. All critical equipment is cabled in a redundant configuration to Power Distribution Units (PDUs) that conditions the power ensuring a steady power flow. There are five PDU units in the center.

# BACKUP AND RECOVERY – ESSENTIAL RECORDS AND DATABASES

Organization/Division/Unit: DTS Enterprise Storage

Team: Storage

**Essential Function: Data storage (full product descriptions at <http://dts.utah.gov/services/enterprise/index.html>)**

**DTS Data storage definition includes communication resources, critical applications, vital records, databases, process and functions as determined by individual agencies**

Briefly describe storage services offered.	Briefly describe	Check all that apply.	How soon would you need to access the record during an event?
<b>Backup &amp; Restore Services from DTS.</b>	<p>DTS owns and maintains a backup and restore environment in the Salt Lake City and Richfield data centers. This environment consists of the Tivoli Storage Manager (TSM) application, several TSM servers along with virtual and physical tape. It is made available for State agencies and other government entities for the following applications:</p> <p>Servers hosted in the Salt Lake City or Richfield data centers.</p> <p>Servers with State of Utah WAN connectivity hosted at agency sites outside the Salt Lake City and Richfield data centers.</p> <p>Servers are backed up to disk and or tape resources located in the Salt Lake City and Richfield data centers. TSM Client software is installed on the agency server and can be configured to perform backups and archives. Data accessed by the server located on external devices (SAN and NAS) can also be backed up. An initial full backup is performed and then followed by daily incremental backups forever. Archives perform a full backup every time they are carried out. System Administrators may restore data through the TSM</p>	<p><input checked="" type="checkbox"/> Protects health, safety or property.</p> <p><input checked="" type="checkbox"/> Necessary to resume /continue operations.</p> <p><input checked="" type="checkbox"/> Statutory requirement to retain.</p> <p><input type="checkbox"/> Would require massive resources to reconstruct.</p>	<p><b>Tier 1 = 24 – 48 hrs. priority 1.</b></p> <p><b>Tier 2 = 7 - 28 days priority 2.</b></p> <p><b>Tier 3 = 30 + days Priority 3.</b></p> <p>Contact is Paul Kearsley 801 538-9514</p>

	client as needed. DTS personnel are always available to provide assistance.		
<b>SAN Storage from DTS</b>	<p><i>SAN Storage</i> provides reliable storage on a Storage Area Network (SAN) device external to the server where the application resides. Redundancy is built into the SAN to provide protection for the data from equipment failure. Storage is provided to agencies on a Logical Unit Number (LUN) basis. With the assistance of the storage administrator and system administrators, the customer specifies the number and the size of each LUN. LUNs can be configured in the following sizes: 50GB, 100GB, 250GB, 500GB, 750GB, 1TB, 1.5TB and 2TB. Connectivity to this storage is provided through high-speed Fibre Channel networks via host bus adapters (HBA) and is suitable for mission critical applications. All servers must be connected to the SAN with 2 Fiber Channel ports configured for fault tolerant redundancy.</p>	<input checked="" type="checkbox"/> Protects health, safety or property. <input checked="" type="checkbox"/> Necessary to resume /continue operations. <input checked="" type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	<p><b>Tier 1 = 24 – 48 hrs. priority 1.</b></p> <p><b>Tier 2 = 7 - 28 days priority 2.</b></p> <p><b>Tier 3 = 30 + days Priority 3.</b></p> <p>Contact is Paul Kearsley 801 538-9514</p>
<b>Qualified Dedicated Storage from DTS</b>	<p>DTS is offering a dedicated disk storage environment for qualified users with image data in excess of one terabyte. Storage space in this environment will be available for use by State agency-owned open system servers hosted in the Salt Lake City data center approved to use this product by DTS Operations Management. This secondary storage is available for customers meeting the following requirements:</p> <ul style="list-style-type: none"> <li>• The data stored is NOT mission-critical</li> <li>• The storage is based on the Serial ATA (SATA) disk technology</li> <li>• The data is comprised of a large amount of image data</li> <li>• Initial storage requested must be at least one terabyte (1TB) in size</li> </ul>	<input type="checkbox"/> Protects health, safety or property. <input type="checkbox"/> Necessary to resume /continue operations. <input type="checkbox"/> Statutory requirement to retain. <input checked="" type="checkbox"/> Would require massive resources to reconstruct.	<p><b>Tier 1 = 24 – 48 hrs. priority 1.</b></p> <p><b>Tier 2 = 7 - 28 days priority 2.</b></p> <p><b>Tier 3 = 30 + days Priority 3.</b></p> <p>Contact is Paul Kearsley 801 538-9514</p>

	<ul style="list-style-type: none"> <li>• The storage is directly attached using a single port connection to the application server and requires no additional network connectivity</li> <li>• The application server is located close enough to the storage device to be directly attached</li> <li>• Data replication for business continuity is not required and will not be available</li> </ul> <p>It is understood that scheduled maintenance on the storage device will cause a service outage for the server during the maintenance window</p> <p>Support is available M-T 7:00 a.m. to 6:00 p.m.</p>		
<b>Disk Storage – Mainframe from DTS</b>	<p>DET owns and maintains Mainframe Disk Storage environments at the State’s Salt Lake and Richfield data centers using state of the art disk storage media. This storage is for State agencies and other government entities requiring high availability, reliability, high speed access, and the ability to handle large amounts of I/O for their critical business data.</p> <p>Mainframe Disk Storage is allocated by the customer agency using standard mainframe methods and practices. Storage Allocation is automatically managed through Data Facility Storage Management Subsystem (DFSMS) using Automatic Class Selection (ACS) routines customized by DET storage Administrators for the individual Agency’s needs.</p>	<input checked="" type="checkbox"/> Protects health, safety or property. <input checked="" type="checkbox"/> Necessary to resume /continue operations. <input checked="" type="checkbox"/> Statutory requirement to retain. <input type="checkbox"/> Would require massive resources to reconstruct.	<p><b>Tier 1 = 24 – 48 hours priority 1.</b></p> <p><b>Tier 2 = 7 - 28 days priority 2.</b></p> <p><b>Tier 3 = 30 + Days Priority 3.</b></p> <p>Contact is Greg Shoop 801 538-1718</p>
<b>Mainframe Tape from DTS</b>	<p>DTS owns and maintains tape environments at the State’s Salt Lake City and Richfield data centers. The mainframe tape environments provide storage at a lower cost than</p>	<input checked="" type="checkbox"/> Protects health, safety or property. <input checked="" type="checkbox"/> Necessary to resume /continue	<p><b>Tier 1 = 24 – 48 hours priority 1.</b></p>

	<p>online disk storage for data that does not require the high performance requirements of online disk. The tape environment can also be used for backup and restore services for business resumption of data stored on mainframe disk.</p> <p>This environment includes virtual tape (CA-VTape) and physical tape configurations. Out-of-Area tape creation and removal is available for customers requiring the ability to send tapes to or receive tapes from another facility or offsite storage. DET provides automated remote backup and restore processing and vaulting between the Salt Lake City and Richfield data centers.</p> <p>The DET tape environment includes automated data migration/compression (called Migration Level 1 – “ML1”) and a second level process to migrate and compress data from disk to tape (called Migration Level 2 –“ML2”). DET provides automated remote backup/restore processing and vaulting between the Salt Lake City and Richfield data centers.</p>	<p>operations.</p> <p><input checked="" type="checkbox"/> Statutory requirement to retain.</p> <p><input type="checkbox"/> Would require massive resources to reconstruct.</p>	<p><b>Tier 2 = 7 - 28 days priority 2.</b></p> <p><b>Tier 3 = 30 + Days Priority 3.</b></p> <p>Contact is Greg Shoop 801 538-1718</p>
--	---	--	---



## **Appendix**

- A. DTS Employee Work Phone # Contact List by Last Name
- B. DTS Employee Cell Phone # Contact List by Last Name
- C. Agency Applications and Tier I – III determination
- D. DTS Data Center Inventory SLC November 2012
- E. DTS Data Center Inventory Richfield November 2012
- F. Agency COOP/DR Plans – DWS – Unemployment Insurance
- G. Agency COOP/DR Plans – PS – UCJIS failover
- H. Agency COOP/DR Plans – DEQ 2006
- I. Agency COOP/DR Plans – DHS 2010
- J. Agency COOP/DR Plans – TAX
- K. Agency COOP/DR Plans – DHS SAFE
- L. Agency COOP/DR Plans – DABC
- M. DTS Oracle/SQL Database